

A detailed architectural line drawing of the Kansas State Capitol building. The drawing shows the full facade, including the large central dome topped with a statue, and the symmetrical wings with multiple windows and classical columns. The drawing is in a light, sketch-like style.

**KANSAS STATE CAPITOL.**  
Scale 5 feet to 1 inch. McDONALD BROS. ARCHITECTS,  
LOUISVILLE, KY.

# **Building Design and Construction Manual 2009**

**State of Kansas  
Department of Administration  
Division of Facilities Management  
Revised July 1, 2009**

This manual has been developed to provide the reader, architect, engineer, or agency representatives, with the necessary information to complete a construction project for the State of Kansas. These procedures were created in accordance with state statute (K.S.A.75-1266) and the accepted practices of architecture and engineering.

Any concerns or conflicts found in this manual should be brought to the attention of the Division of Facilities Management. Send comments in writing to [DFMAS.Info@da.ks.gov](mailto:DFMAS.Info@da.ks.gov). In the subject line please reference the Building Design and Construction Manual.

It is our intent to post major updates annually on or about January 1; statutory updates on or about July 1; unscheduled interim updates for specific major changes if required; and unscheduled forms updated as required. Obtain copies of this manual and all changes by visiting our website at [www.da.ks.gov/fp/manual.htm](http://www.da.ks.gov/fp/manual.htm).

Each chapter and form that is posted is accompanied by the posting date of the revision. Each firms or agency is responsible for downloading the current version of the manual. Visit our website often to ensure you are using the most current version of the manual and the most current version of the forms.

Division of Facilities Management

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- State of Kansas – Capital Improvement Project Qualifications-Parts A – D (FPDC 051) Issued 07-01-09
- State of Kansas – Capital Improvement Project Qualifications-Part E (FPDC 052) Issued 07-01-09
- State of Kansas – Capital Improvement Project Qualifications-Part F (FPDC 053) Issued 07-01-09
- State of Kansas – Capital Improvement Project Qualifications-Parts G – I (FPDC 054) Issued 07-01-09

## State Agency Related

- Project Number/Data Request (FPDC 935) (.xls) Revised 07-01-09
- Fee Negotiating Checklist (FPDC 102) (.xls) Issued 01-01-08
- A/E Services List (FPDC 103) (.xls) Issued 01-01-09
- Additional Services Request (FPDC 905) (.doc) Revised 08-08-07
- Deferred Inspection Record (FPDC 140) (.pdf) Revised 00-01-09
- Architect's / Engineer's Evaluation (FPDC 605) (.doc) Revised 08-08-07
- Contractor Evaluation (FPDC 610) (.doc) Revised 08-08-07

## Design and Construction Related

- Is a code footprint required? (FPDC 105) (.doc) Revised 07-01-09
- Path of Travel (FPDC 115) (.pdf) Revised 08-08-07
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- Construction Documents Checklist (FPDC 223) (.doc) Issued 07-01-09
- Front End Data (FPDC 305) (.doc) Revised 11-26-07
- Specification Index (.doc) Issued 06-09-08
- Request for Review (FPDC 120) (.doc) for all documents sent to DFM for review - Revised 07-01-09
- Addendum Form (FPDC 315) (.doc) Revised 08-08-07
- Prebid Agenda (FPDC 320) (.pdf) Revised 08-08-07
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- Certificate of Project Completion (FPDC 575) (.doc) Revised 08-08-07
- Contractor Evaluation (FPDC 610) (.doc) Revised 08-08-07

## DFM Related

- Master Front End document (.pdf) Revised 4-23-07
- Document D – General Conditions of the Contract (.pdf) Issued 02-15-08
- Notice to Proceed (FPDC 440) (.pdf) Revised 08-08-07
- Required Shop Drawings & Inspections for Occupancy (FPDC 130) (pdf) Revised 07-01-09
- Inspection Record (FPDC 135) (.pdf) Revised 01-01-09
- Project Acceptance Record (FPDC 125) (.pdf) Revised 08-08-07
- Certificate of Occupancy (FPDC 150) (.pdf) Revised 08-08-07
- List of Applicable Codes (FPDC 110) (.pdf) Revised 07-01-09

## CHAPTER 1 - DIVISION OF FACILITIES MANAGEMENT

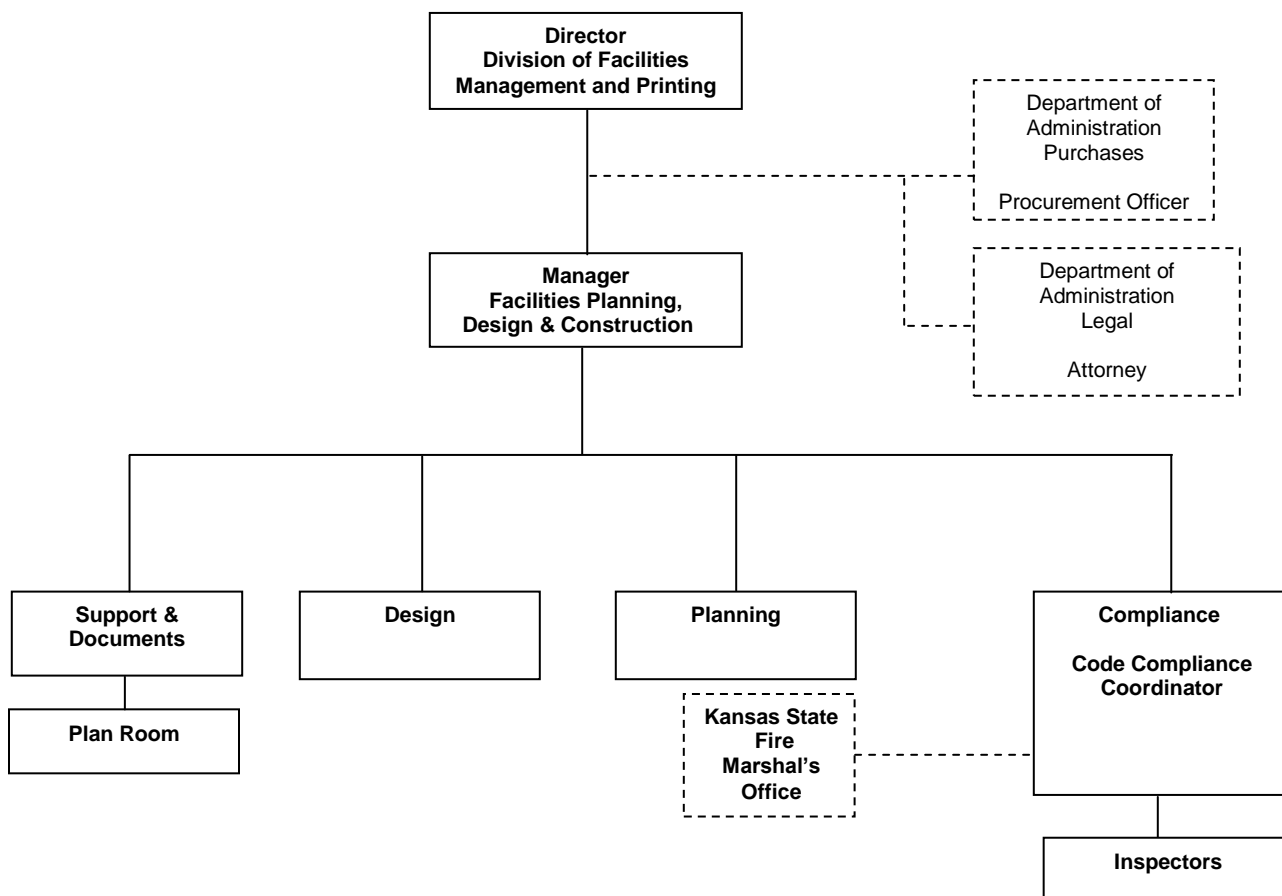
### 1.0 Division Overview

- 1.1 The Division of Facilities Management (DFM) provides professional design and construction related services to state agencies.
- 1.2 DFM's primary objective is to assist state agencies in the delivery of safe, high-quality facilities within established programs, budgets, and schedules. DFM provides the following services:
  - 1.2.1 Coordination of the nomination and selection of project architects and engineers ([K.S.A. 75-1253](#)).
  - 1.2.2 architectural and engineering design services on designated projects ([K.S.A. 75-1254](#)),
  - 1.2.3 assistance in the "administration of contracts for professional services and contracts for construction" ([K.S.A. 75-1259](#) & [K.S.A. 75-1262](#)),
  - 1.2.4 contracts for ancillary services ([K.S.A. 75-3784](#)),
  - 1.2.5 interpretation and enforcement of building codes, accessibility laws and construction standards for the protection of health and safety in buildings,
  - 1.2.6 consistent and equitable bidding phase services,
  - 1.2.7 maintenance of archival records of state buildings ([K.S.A. 75-1267](#)),
  - 1.2.8 technical and administrative support for the State Building Advisory Commission (SBAC) ([K.S.A. 75-3780](#)),
  - 1.2.9 technical studies and reports as requested.

### 2.0 Division Sections

- 2.1 The Planning section coordinates the nomination and selection of architectural and engineering firms for building construction projects, assists in the management of projects when fees are negotiated to do so, reviews all projects prior to bidding, and assists in construction administration when fees are negotiated for requested observation.
- 2.2 The Code Compliance section conducts building code and accessibility (ADAAG/UFAS) reviews, issues project acceptance of code footprints, inspects projects under construction for code compliance, and issues the Certificate of Occupancy for each project.
- 2.3 The Design section consists of architectural and engineering designers, who serve under a licensed architect/engineer as project architects or project engineers for agency building construction projects. Services include design, construction documents, bid analysis, and construction administration.
- 2.4 The Documents section provides bidding phase services, standardized front end specifications, including general conditions, and maintains the state's historical archive of construction documents.

3.0 ORGANIZATIONAL CHART





## 4.0 Contact List

NAME AND TITLE	TELEPHONE	E-MAIL
<b>Gary Hibbs, Manager</b>	785-369-6484	<a href="mailto:gary.hibbs@da.ks.gov">gary.hibbs@da.ks.gov</a>
<b>Phyllis Fast, Planning Coordinator</b>	785-296-5796	<a href="mailto:phyllis.fast@da.ks.gov">phyllis.fast@da.ks.gov</a>
Ray Smith, Architect	785-296-7425	<a href="mailto:ray.smith@da.ks.gov">ray.smith@da.ks.gov</a>
Mark Wendland, Engineer	785-296-0155	<a href="mailto:mark.wendland@da.ks.gov">mark.wendland@da.ks.gov</a>
<b>Barbara Schilling, Coordinator and Senior Architect, Design</b>	785-291-3695	<a href="mailto:barb.schilling@da.ks.gov">barb.schilling@da.ks.gov</a>
Jim Brooke, Chief Engineer	785-296-5104	<a href="mailto:jim.brooke@da.ks.gov">jim.brooke@da.ks.gov</a>
Don Schultz, Architectural Project Designer	785-291-3992	<a href="mailto:don.schultz@da.ks.gov">don.schultz@da.ks.gov</a>
Frank Burnam, Engineering Project Designer	785-291-3989	<a href="mailto:frank.burnam@da.ks.gov">frank.burnam@da.ks.gov</a>
<b>Lori Ploude, Supervisor, Support and Document</b>	785-296-6247	<a href="mailto:lori.ploude@da.ks.gov">lori.ploude@da.ks.gov</a>
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Sharon Knowles, Senior Administrative Assistant	785-296-8899	<a href="mailto:sharon.Knowles@da.ks.gov">sharon.Knowles@da.ks.gov</a>
<b>Diana Hutchison, Code Compliance Coordinator</b>	785-296-4728	<a href="mailto:diana.hutchison@da.ks.gov">diana.hutchison@da.ks.gov</a>
Dick Hazen, Building Construction Inspector	785-656-0025	<a href="mailto:dick.hazen@da.ks.gov">dick.hazen@da.ks.gov</a>
Jake Maska, Building Construction Inspector	785-650-1003	<a href="mailto:jake.maska@da.ks.gov">jake.maska@da.ks.gov</a>
Mark Seman, Building Construction Inspector	785-806-0237	<a href="mailto:mark.seman@da.ks.gov">mark.seman@da.ks.gov</a>
Jim Steuart, Building Construction Inspector	785-806-0236	<a href="mailto:jim.steuart@da.ks.gov">jim.steuart@da.ks.gov</a>
Scott Sinclair, Building Construction Inspector – Hospital Authority	913-544-7742	<a href="mailto:ssinclair@kumc.edu">ssinclair@kumc.edu</a>

**END OF CHAPTER 1**

## CHAPTER 2 – OWNER’S RESPONSIBILITIES

- 1.0 Owner is the State Agency / Agency who is responsible for the project programming and funding.
- 2.0 The Owner will designate a representative authorized to act on the Owner’s behalf for the Project.
  - 2.1 If there is a committee formed by the Owner, one individual should be designated as the representative authorized to act on the Owner’s behalf for the Project.
  - 2.2 The Owner will identify the owner’s project team members.
- 3.0 The Owner will provide complete information and program requirements for the project.
  - 3.1 As part of the program, the Owner will establish and update an overall budget for the Project, which will include the construction cost, the Owner’s other costs and reasonable contingencies related to all of these costs.
  - 3.2 As part of the program, the Owner will provide a design and construction schedule.
- 4.0 The Owner will, in a timely manner, fill out and forward the Project Number / Data Request FPDC Form 935 to DFM for the assignment of a project number. This DFM project number is to be used on all correspondence, construction documents and all other paperwork associated with this project.
  - 4.1 Unrestricted projects advertised in the *Kansas Register* should have a DFM project number prior to the request for advertising.
  - 4.2 Restricted projects should have a DFM project number prior to fee negotiations.
  - 4.3 Project numbers assigned to the project by the owner or project architect/engineer should be identified as such.
- 5.0 After the State Building Advisory Commission (SBAC) (see Chapter 4) establishes the interview list, the Owner will provide all nominated firms with a completed Fee Negotiation Checklist FPDC Form 102.
  - 5.1 The Owner will refine this list prior to the initial fee negotiating meeting with the selected firm.
- 6.0 The Owner will provide approvals and decisions as expeditiously as necessary for the orderly progress of the project architect/engineer’s services and work of the contractors.
- 7.0 The Owner will provide the project architect/engineer access to the premises as scheduled with the Owner.
- 8.0 The Owner will keep the project architect/engineer apprised of the project funding.
  - 8.1 Should the project funding be terminated, the Owner will pay the project architect/engineer for work completed to date.
  - 8.2 Should the project funding be reduced or increased, the Owner will pay the project architect/engineer for work completed to date, and negotiate a fee in accordance with the reduced or increased budget **and** reduced or increased scope of work.
- 9.0 If the project is a renovation or addition, the Owner will provide to the project architect/engineer all available plans, specifications and other documentation.

- 10.0 The Owner will define all work to be done by in-house forces before and during the construction of this project.
- 11.0 If a renovation, the Owner will designate all items to be salvaged and the location(s) for storage of those items.
- 12.0 The Owner will designate the staging area during construction.
- 13.0 The Owner will furnish the project architect/engineer with a current survey describing physical characteristics, legal limitations and utility locations for the site of the Project, and a written legal description of the site as required. If the Owner cannot provide a current survey of the property, a surveyor will be selected by DFM from a list of ancillary services which are advertised annually.
- 14.0 If required, the Owner will be responsible for obtaining the services of a geotechnical survey through DFM when such services are requested by the project architect/engineer. Such services will include but are not limited to test borings, test pits, determinations of soil bearing values, percolation tests, evaluations of hazardous materials and ground contamination. A geotechnical firm will be selected by DFM from a list of ancillary services which are advertised annually.
- 15.0 The Owner will be responsible for providing copies of structural, mechanical, chemical, air and water pollution tests, tests for hazardous materials and other laboratory and environmental tests, inspections and reports to the project architect/engineer. If no reports are available, but are required for the project, an appropriate firm will be selected by DFM from a list of ancillary services which are advertised annually.
- 16.0 The Owner will provide prompt response to questions, and inquiries during the construction of a project.
- 17.0 The Owner will promptly forward to the project architect/engineer and contractor, DFM Inspection Records sent from DFM to the Owner.
  - 17.1 Each Owner will identify only one contact individual for the receipt of Inspection Records. It is the responsibility of this individual to forward this information to the appropriate member(s) of the owner's staff.

**END OF CHAPTER 2**

**CHAPTER 3 - GLOSSARY**

**Accounts and Reports, Division of** (A&R) is the Division of the Department of Administration responsible for processing contract encumbrances and printing warrants for payment.

**Additional services** are professional services outside the scope of those services required by the program and are not included in the approved construction budget. These services include but are not limited to: programming, master plans, coordination with local jurisdictions, unanticipated construction phasing, renderings and models, landscape design not included in the budget, formal presentations outside those required in each phase, off site utilities, fire modeling, LEED certification and special discipline consultation. Reference A/E Services List FPDC Form 103 for the list of services.

**Agency:** See Owner.

**Agency architect/engineer** is an employee of a state agency who possesses a valid Kansas license and serves as the project architect/engineer for projects below statutory limits that require convening a negotiating committee. ([K.S.A. 75-1254](#)).

**Alternate bid** is an amount listed on the bid form for the contractor to add or deduct from the amount of the base bid.

**Alternative Project Delivery** means an integrated comprehensive design and construction process, including all procedures, actions, sequences of events, contractual relations, obligations, interrelations and various forms of agreement all aimed at the successful completion of the design and construction of buildings and other structures whereby a construction manager or general contractor of building design-build team is selected based on a qualifications and best value approach.

**Ancillary services** are professional services such as surveying, geological/soils/subsurface investigation, acoustics, HVAC testing and balancing, hazardous materials survey and abatement, building commissioning and any other testing and consulting services, which may be contracted separately by the state, or may be contracted as part of the project architect or engineer's contract, or may be contracted as part of the construction contract. [KSA 75-3784](#).

**A/E Fee Guidelines** Using Criteria for: Cost/Complexity/Type/Services (See Chapter 5), is a tool developed in a matrix format to assist the Negotiating Committee and the design team to define and quantify the project design services and to establish a point of beginning to negotiate a fee for a project.

**Architectural Services, Division of** Per order of the Secretary of Administration all powers, duties and functions of the Division of Architectural Services and its Director were transferred to the Division of Facilities Management and its Director on January 17, 2002.

**As-builts** are drawings provided by the project architect/engineer representing substantial changes noted on the contractor's Record Documents during the construction of the project. Information shown shall be useable by the agency and the State of Kansas in the occupancy, operation, and maintenance of the facility. Drawings do not require the project architect/engineer seal(s).

**Bidding Phase** begins when the construction documents are completed and approved by the agency and DFM for distribution to contractors. The Document section receives the tracings and specifications, adds DFM's "front end" specifications, establishes the bid date, advertises the project and pre-bid conference, and coordinates printing and distribution of the documents and addenda.

**Building design-build** means a project for which the design and construction services are furnished under one contract.

**Capital Improvement Project** is the study and/or construction of a new, an addition(s) to, an alteration(s) or repair(s) of a facility, parking lot or infrastructure.

**Code Compliance Coordinator** is an individual who works for the Division of Facilities Management and is deputized by the Kansas State Fire Marshal's Office to serve as the review official for all building construction project on state property.

**Code Footprint** means a building and life safety code compliance document that contains both graphic and narrative information and that meets the requirements of [\(K.A.R. 22-1-7\)](#).

**Code Inspector** is a DFM employee who inspects capital improvement projects ensuring construction is in accordance with approved code footprints, building codes, and accessibility laws. [\(K.S.A. 75-1262\)](#)

**Complexity Factor** is one (1) of five (5) levels of difficulty or complexity to be assigned to a project based on the general project type and specific project requirements.

**Construction Administration** is oversight of construction by the project architect/engineer for conformance with the plans and specifications, including resolution of problems and discrepancies.

**Construction Documents** are the detailed drawings and specifications defining the scope of the work for the bidding and construction of the project.

**Construction Management At-risk Services** means the services provided by a firm which has entered into a contract with the agency to be the construction manager or general contractor for the value and schedule of the contract for a project, which is to hold the trade contracts and execute the work for a project in a manner similar to a general contractor, and which is required to solicit competitive bids for the trade packages developed for the project and to enter into the trade contracts for a project with the lowest responsible bidder therefore. Construction Management at-risk services may include, but are not limited to scheduling, value analysis, system analysis, constructability reviews, progress document reviews, subcontractor involvement and prequalification, subcontractor bonding policy, budgeting and price guarantees, and construction coordination. [\(K.S.A. 75-37,141 et. seq\)](#)

**Construction Management Services** may include detailed cost estimating, critical path method scheduling and monitoring, drafting contract documents for necessary phasing and grouping, drafting contracts and change orders, full-time inspection and checking and approving shop drawings, color schedules, and materials. [\(K.S.A. 75-1265\)](#)

**Construction services** means the process of planning, acquiring, building, equipping, altering, repairing, improving, or demolishing any structure or appurtenance thereto, including facilities, utilities or other improvements to any real property, excluding highways, roads, bridges, dams, turnpikes or related structures, or stand-alone parking lots.

**Construction Observer** is a DFM employee who provides supplementary construction observation for the Secretary of Administration. [\(K.S.A. 75-1262\)](#)

**Consultant** is an individual or firm that is contracted by the project architect/engineer firm to assist the project architect/engineer in the delivery of professional services.

**Department of Administration** shall have and exercise administrative functions of the state, in the manner as provided by law, in relation to various functions including but not limited to, accounting & fiscal matters, purchasing, personnel, maintaining records of state property, issuing warrants to be paid out of the state treasury, surplus property and building design and construction. [\(K.S.A. 75-3707\)](#)

**Design-builder** means any individual, partnership, joint venture, corporation or other legal entity that furnishes the architectural or engineering services and construction services, whether by itself or through subcontracts.

**Design criteria consultant** means a person, corporation, partnership, or other legal entity duly registered and authorized to practice architecture or professional engineering in this state pursuant to ([K.S.A. 74-7003](#)), and amendments thereto, and who is employed by contract to the agency to provide professional design and administrative services in connection with the preparation of the design criteria package.

**Design Development** consists of drawings and other documents to fix and describe the size and character of the projects as to architectural, structural, mechanical, and electrical systems.

**Design Team** is an architectural/engineering firm contracted with the State of Kansas and includes all consultants hired by the firm to provide design services for a state agency.

**DFM Project Number** is a six digit number prefixed by an "A-", used and issued by DFM for each capital improvement project, gift projects, ancillary services project, miscellaneous studies/reports and additional services provided by DFM.

**Evaluations** are reviews of the performance of project architects/engineers in the areas of design, construction documents and construction administration; and the performance of all construction contractors.

The **Fee Negotiation Checklist** is a list of services required for a specific project and is to aid the agency and architect/engineer in the fee negotiating session. Initially prepared by the agency then reviewed and agreed to by the architect/engineer.

**Facilities Management, Division of** (DFM) is the Division of the Department of Administration responsible for assisting and supporting state agencies with building construction projects and with the operation and maintenance of the Department of Administration owned buildings in the Capitol Complex. When referenced in this manual, DFM is the general entity with all the responsibilities assigned to the division.

**Facilities Planning, Design & Construction** (FPDC / Facilities Planning) is a group within DFM representing the Secretary of Administration in matters of code enforcement, building design and construction. This group is responsible for compiling and enforcing the Building Design and Construction Manual.

**Facility Conservation Improvement Program** (FCIP) is a program administered by the Kansas Corporation Commission ([www.kcc.state.ks.us/energy/fcip](http://www.kcc.state.ks.us/energy/fcip)) to fund projects such as new lighting technologies, boilers, chillers, energy management controls.

**Firm** is an individual, firm, partnership, corporation, association or other legal entity which is permitted by law to practice the profession of architecture, engineering or land surveying. ([K.S.A. 75-1251](#))

**Joint Committee on State Building Construction** (JCSBC) is composed of five members of the Senate and five members of the House of Representatives. JCSBC's duties are to study all five-year capital improvement and facilities plans and capital improvement budget estimates; make recommendations on these five year plans to the Senate Ways and Means Committee and the House Appropriations Committee; monitor the progress of all capital improvement projects or major repairs; and review all change orders greater than \$125,000. ([K.S.A. 75-1264](#))

**Kansas Licensure** is a professional license issued by the Kansas State Board of Technical Professions required by professionals intending to procure state work and used for sealing the contract documents. ([K.S.A. 75-7003](#))

**Kansas Register** is a weekly publication compiled by the Secretary of State which includes all advertisements for contracts for architectural, engineering and ancillary services, construction, repairs and improvements. Subscription information can be obtained online at [www.kssos.org](http://www.kssos.org), by e-mail at [kansasregister@kssos.org](mailto:kansasregister@kssos.org), or by telephone (785-296-3489).

**Fire Marshal's Office, Kansas State** (KSFMO) shall adopt reasonable rules and regulations, consistent with the provisions of this act, for the safeguarding of life and property from fire, explosion and hazardous materials. ([K.S.A. 75-1510](#)). Visit the KSFMO website at <http://www.kansas.gov/firemarshal/>.

**LEED Certification** distinguishes building projects that have demonstrated a commitment to sustainability by meeting the highest performance standards.

**Negotiating Committee** is comprised of three individuals or their designees: 1) the head of the state agency for which the proposed project is planned, 2) the head of the institution for which the proposed project is planned, and 3) the director of the division of architectural services or a person designated by the director, who shall act as chairperson of the committee. When the proposed project is not planned for an institution, the state agency head shall designate a second person in lieu of the head of an institution. ([K.S.A. 75-1251](#))

**On-Call** architectural or engineering services are provided by project architects or project engineers for state agencies with capital improvement project costs whose total project funds do **not** exceed \$750,000 in general construction or do not exceed \$500,000 in engineering construction.

**Owner** is the State Agency / Agency who is responsible for the project programming and funding.

**Partnering** is a process agreed to by the state agency, DFM and the contractor for the sole purpose of enhancing communication throughout the design and construction of the project.

**Planner** is an employee of the Division of Facilities Management who provides planning, architectural or engineering services to agencies on funded/unfunded capital improvement projects ([K.S.A. 75-1269](#)).

The **program** should set forth, in writing, the Owners objectives, constraints, spaces, spatial relationships, activities, functions, projected costs and schedule for construction of the project. Info such as topography, subsurface, utilities, landscaping, existing facilities, future uses, flexibility, expandability, equipment, systems, maintenance, site requirements, vehicular traffic, parking, delivery and pedestrian circulation may also be included. ([K.S.A. 75-1255](#) and [K.S.A. 75-3742](#))

**Program Services** are services common to most building design and construction projects and not identified as additional Services or specialized services used infrequently. **Program services** can be tied directly to work that is included in the approved construction budget. Services not included in program service are considered additional services or ancillary services. Specialized services used infrequently may be added to FPDC Form 103 "Services provided by the Project Architect/Engineer" and shall be identified as Program or Additional Services.

**Project Acceptance Record** is an official notification issued at various junctures of the project by DFM on behalf of the state when the code footprint is accepted, when the construction documents are accepted, when the fire alarm drawings are accepted, when the sprinkler shop drawings are accepted, when the occupancy certificate is approved, and when the permit to build is identified, as noted in Building Code and ADAAG Reviews Chapter.

**Project Architect** means a firm employed for a particular project or for on-call architectural services, or is an individual employed by a state agency to provide architectural services on restricted projects. ([K.S.A. 75-1251](#))

**Project Engineer** is a firm contracted to provide professional engineering services for a specific capital improvement project or for on-call engineering services, or is an individual employed by a state agency to provide engineering services on restricted projects.

**Project Manager** is an employee of any state agency, excluding DFM planners, who possesses a Kansas license in the profession of either architecture or engineering and is responsible for facilitating building construction projects.

**Project Proposal** is the completion of State of Kansas Capital Improvement Project Qualifications Forms 051-054, and additional photographs and/or additional information relevant to the project.

**Project Team** consists of the state agency representatives, the project architect/engineer, and DFM representatives when negotiated.



**Division of Purchases (Purchases)** is the Division of the Department of Administration responsible for receiving and validating bids, and initiating the construction contract for building construction projects.

**Rebid** – project is being bid a 2<sup>nd</sup> time without any revisions to the original bid documents.

**Record Documents**, are marked up drawings provided by the construction contractor, field orders, change orders and construction change directives, which indicate substantial changes incorporated into the work during construction.

**Revised** – project is being bid a 2<sup>nd</sup> time with revisions to the original bid documents.

**Revised Rebid** – project is being bid a 3<sup>rd</sup> time after the first bid was rejected and after the 2<sup>nd</sup> bid of revised documents was rejected. There are no revisions to the first revision of the original bid documents.

**Restricted Capital Improvement Projects** are building construction projects whose total project funds do not exceed \$750,000 in general construction or \$500,000 in engineering construction. ([K.S.A. 75-1253](#))

**Schematic Design** is the preliminary design stage of a project where the project architect/engineer shows the Owner several options for solving the project program.

**Secretary of Administration** is the head of the Department of Administration and oversees its organization and various functions as dictated by statute.

**State Agency** “includes any state institution”. ([K.S.A. 75-1251](#)) See definition of Owner.

**State Building Advisory Commission (SBAC)** “shall be composed of seven members” . . .” and shall be a part of the department of administration”. “The secretary of administration shall be a member and shall serve as chairperson”. The next member shall alternate between the head of the architecture program of Kansas State University and the University of Kansas. “The five remaining persons shall be appointed by the Governor”. “At no time shall more than 3 of the 5 members appointed by the governor be members of the same political party at the time of appointment.” At least one of the appointed members shall be a member of a building trades union and at least one shall be a member of an association of building construction contractors. ([K.S.A. 75-3780](#))

**Statement of Qualifications (SOQ)** for professional services is State of Kansas Professional Qualifications FPDC Form 050.

**Successful Bid** is any bid which is awarded to a construction contractor.

**Unrestricted Capital Improvement Projects** are building construction projects whose total project funds exceed \$750,000 in general construction or \$500,000 in engineering construction. ([K.S.A. 75-1253](#))

“**Will**” and “**Shall**” are used interchangeably in this manual, as defined in The American Heritage® Book of English Usage 1996.

## END OF CHAPTER 3



## CHAPTER 4 – PROCUREMENT OF PROFESSIONAL DESIGN SERVICES

- 1.0 Eligibility Requirements and Procedures for Architectural, Engineering and Land Surveying Services.
  - 1.1 To be eligible to perform architectural, engineering or land surveying services ([K.S.A. 75-1251](#) and [K.S.A. 75-1258](#)) on state construction projects, the entity (firm) performing such services must meet the following conditions:
    - 1.1.1 The entity, whether individual, firm, partnership, corporation, association or other legal entity is permitted by law to practice the profession of architecture, engineering or land surveying in Kansas;
    - 1.1.2 The entity has general professional liability insurance or specific professional liability insurance adequate for the project.
- 2.0 Annual Statement of Qualifications.
  - 2.1 The Secretary of Administration annually encourages firms engaged in the lawful practice of architecture, engineering and land surveying to submit a statement of qualifications [SOQ] and performance data. A request for qualifications is published each December in the *Kansas Register* and is available on the DFM website at <http://da.ks.gov/fp/construction.htm>.
  - 2.2 The State of Kansas Professional Qualifications FPDC Form 050 to be used is available on the DFM website at [www.da.ks.gov/fp](http://www.da.ks.gov/fp) Supplemental information regarding each firm may also accompany the form.
  - 2.3 Each multi-office firm is required to fill out a Professional Qualifications FPDC Form 050 for each office that will provide services in Kansas.
  - 2.4 Following are clarifications regarding the Professional Qualifications FPDC Form 050.
    - 2.4.1 Section 1c, Check which office matches the address listed in 1a.
    - 2.4.2 Section 3, should **only** be filled out when submitting the form annually each December.
    - 2.4.3 Section 4, should be updated for each capital improvement project proposal.
    - 2.4.4 Section 4a, should identify types of disciplines required for state of Kansas building construction projects.
    - 2.4.5 Section 4b should indicate the total number of employees for **all** office locations.
    - 2.4.6 Section 4b, should indicate the number of employees for the office address given in Section 1a.
    - 2.4.7 Section 4b, should provide the number of Kansas licenses for each discipline in the office listed in 1a.
    - 2.4.8 Section 5, should describe the firm's experience for state of Kansas building construction projects.
    - 2.4.9 Section 5a, is not limited to the attachment's list of experience types.
    - 2.4.10 Section 5b, Revenue is optional.

- 2.4.11 Section 6, percentage of the firm's current work for the state of Kansas (as both a prime and as a consultant) compared to the firm's current workload of all projects.
- 2.4.12 Sections 7b, 7c, should be legible.
- 2.4.13 Section 7d should be current.
- 2.5 Each completed Professional Qualification FPDC Form 050 and supplemental information received by DFM will be filed and made available to the State Building Advisory Commission (SBAC) and Negotiating Committees.
- 2.6 Eligible firms, which have never sought State work, are encouraged to contact DFM regarding the State's eligibility, qualification, nomination and selection procedures and policies.
- 3.0 Announcement of Architectural and Engineering Services.
  - 3.1 Upon receipt of a written program statement and draft advertisement from a state agency for a project which has been funded and approved by the Kansas Legislature, DFM will submit an advertisement to be published in the *Kansas Register* requesting proposals from architectural and engineering firms interested in the project. The *Kansas Register* is the **official** publication where all requests for architectural and engineering services for state tax-funded building construction projects are announced.
  - 3.2 The *Kansas Register* is published every Thursday by the Kansas Secretary of State. The *Register* is available on line at [http://www.kssos.org/pubs/pubs\\_kansas\\_register.asp](http://www.kssos.org/pubs/pubs_kansas_register.asp) and is available in many libraries throughout the state. Subscriptions to the *Kansas Register* may be obtained by contacting the Kansas Secretary of State on the internet at <http://www.kssos.org>, by e-mail at [kansasregister@kssos.org](mailto:kansasregister@kssos.org), or by telephone at 785-296-3489.
- 4.0 SBAC Guidelines for Proposal Submittals.
  - 4.1 When requests for architectural and engineering services are advertised, all qualified firms are encouraged to submit proposals to the SBAC indicating their interest in being selected to provide the advertised services.
  - 4.2 Each proposal for advertised services shall consist of the following:
    - 4.2.1 A one-page letter of interest including a synopsis of qualifications; completed State of Kansas Capital Improvement Project Qualifications FPDC Forms 051, 052, 053, and 054; any photographs or information relevant to the advertised services; and information specifically requested in the advertisement. FPDC Forms 051, 052, 053, and 054 can be altered to accommodate each firm's qualifications.
    - 4.2.2 A maximum of forty (40) pages of **readable** surfaces, which may be double-sided. Double-sided proposals do **not** increase the forty (40) page readable surfaces limit. Covers, separation tabs and the Professional Qualification Form(s) 050 do not count toward the forty (40) page readable surface limit.
    - 4.2.3 An **updated** State of Kansas Professional Qualifications FPDC Form 050, for each proposing firm and each consulting firm should be included at the end of each proposal.
  - 4.3 Proposal submittals for advertised services shall consist of the following:
    - 4.3.1 Five (5) sets of the proposal, each bound with a plastic or spiral binder, stapled, or submitted in a loose-leaf binder.

- 4.3.2 **One** .PDF file of the entire proposal less than 7 MB in size.
  - 4.3.2.1 The .PDF file can be submitted either by e-mail to DFM or on a CD / DVD accompanying the five proposals. Do not provide .ZIP files.
- 4.4 Following are clarifications regarding the Capital Improvement Project Qualifications FPDC Forms 051, 052, 053, and 054.
  - 4.4.1 Form 051, Section B1: use title and location in the *Kansas Register* advertisement.
  - 4.4.2 Form 051, Section B2: the date of the *Kansas Register* advertisement (optional).
  - 4.4.3 Form 052, Section E, should be used to identify key personnel who will be involved with the project and their experience relevant to the services advertised.
    - 4.4.3.1 When presenting photographs of relevant experience gained with other **architectural** firms, only projects in which the individual had primary responsibility for the building's configuration and/or appearance should be presented. The architectural firm by which the individual was employed should also be noted.
    - 4.4.3.2 **Engineering** firms submitting project photographs must limit these to examples in which the engineering firm's role was significant in the building's configuration, appearance, or design of engineering systems. The architect of record should also be noted.
  - 4.3.5 Form 053, Section F, should be used to identify projects relevant to the services advertised.
- 4.5 DFM will receive, review and deliver all submittals to the SBAC. Improper and late submittals will be noted and delivered to the SBAC but may not receive consideration.
  - 4.5.1 Firms interested in tracking the delivery of their submittal should do so through their delivery service, not DFM.
  - 4.6.2 The SBAC requests an explanation for late submittals. A written letter or e-mail to DFM from the firm explaining why the submittal is late will be delivered to the SBAC.
- 5.0 SBAC Nomination of Qualified Firms.
  - 5.1 The State Building Advisory Commission shall nominate at least three (unless fewer are received) and not more than five firms. The following factors may be used:
    - 5.1.1 performance on state work,
    - 5.1.2 prior experience with projects of similar type, size and cost that was advertised,
    - 5.1.3 design experience, including industry and design awards
    - 5.1.4 production quality, current workload for all clients, and ability to manage and meet state deadlines,
    - 5.1.5 experience and working relationships with clients, contractors, consultants, associates and/or joint venture partners,

- 5.1.6 capability of providing services at the location of the project,
- 5.1.7 ability to provide accurate and relevant cost estimates and control project costs within the given budget,
- 5.1.8 construction administration services,
- 5.1.9 factors required by specific project programs,
- 5.1.10 proper submission of proposals.
- 5.2 The list of nominated firms and their proposals shall be submitted to the negotiating committee, without any recommendations of preferences.
- 5.3 Nominated firms will be notified by e-mail and be listed on the FPDC website at <http://da.ks.gov/fp/construction.htm>.
  - 5.3.1 All firms submitting proposals for advertised projects are expected to verify their status by checking the DFM website at <http://da.ks.gov/fp/construction.htm>.
- 6.0 Kansas Open Records Act
  - 6.1 Requests for copies of public records should be addressed in writing to the Director of Division of Facilities Management, 900 Jackson, Room 600, Topeka, Kansas 66612, in accordance with the Kansas Open Records Act (K.S.A. 42-15 et seq.) at <http://da.ks.gov/purch/KSOpenRecAct.doc>.
  - 6.2 Advance payment of a fee is required to receive copies of public records.
  - 6.3 When copies of project proposals received by DFM are requested, firms will be able to purchase paper copies or a CD / DVD from the State's contracted printing company after paying in advance.
  - 6.4 Copies of the proposals will be available after a contract is signed between the selected firm and the Secretary of Administration.

**END OF CHAPTER 4**

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**CHAPTER 4a – PROCUREMENT OF ALTERNATIVE PROJECT DELIVERY BUILDING CONSTRUCTION**

**1.0 Eligibility Requirements and Procedures for Alternative Project Delivery Building Construction**

- 1.1 A state agency, after evaluating the type of project contemplated and the alternative project delivery method desired for building construction, shall submit a written request including justification to the State Building Advisory Commission (SBAC) for review and approval.
- 1.2 To be eligible to use an alternative project delivery building construction ([K.S.A. 75-75-37,141](#) et seq.) on state construction projects, the state agency requesting such delivery must demonstrate the project is appropriate for either a construction management at-risk or a design-build delivery method. The SBAC will consider the following factors:
  - 1.2.1 The likelihood that the alternative project delivery method of procurement selected will serve the public interest by providing substantial savings of time or money over the traditional design-bid-build delivery process.
  - 1.2.2 The ability to overlap design and construction phases is required to meet the needs of the end-user.
  - 1.2.3 The use of an accelerated schedule is required to make repairs resulting from an emergency situation.
  - 1.2.4 The project presents significant phasing or technical complexities, or both, requiring the use of an integrated team of designers and constructors to solve project challenges during the design or preconstruction phase.
  - 1.2.5 The use of an alternative project delivery method will not encourage favoritism in awarding the public contract or substantially diminish competition for the public contract.
  - 1.2.6 The ability of the state agency to fund the stipend offered to qualified design-build proposers.
- 1.3 To be eligible for design-build services, a contractor must be pre-qualified by the Division of Facilities Management to do construction work for the State of Kansas. If the project requires architectural and/or engineering services, a professional, with general liability insurance, licensed by the Kansas Board of Technical Professions, must be part of the team. Eligibility requirements for construction management at-risk are dependent upon the scope of the project.

**2.0 Annual Statement of Qualifications**

- 2.1 The Secretary of Administration annually encourages firms engaged in the lawful practice of design build or construction management at-risk to submit a statement of qualifications (SOQ) and performance data. A request for qualifications is published each December in the *Kansas Register* and is available on the DFM website at <http://da.ks.gov/fp/construction.htm>.
- 2.2 The State of Kansas Professional Qualifications FPDC Form 050 to be used is available on the DFM website at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/). The following minimum information is required. Supplemental information regarding each firm may also accompany the form.
  - 2.2.1 The firm's capacity and general experience, including specific roles on similar or related projects.
  - 2.2.2 The capabilities and other qualifications of the firm's personnel.

- 2.3 For completing Form 050 use the information in Chapter 4, paragraph, 2.4, plus adjustments necessary to accurately and adequately state the qualifications of the design build team or the construction management firm.
  - 2.4 Each completed annual SOQ Form 050 and supplemental information received by DFM will be filed and made available to the SBAC and Negotiating Committees.
  - 2.5 Eligible firms, which have never sought State work, are encouraged to contact DFM regarding the State's eligibility, qualification, nomination and selection procedures and policies.
- 3.0 Announcement of Public Hearing on Proposed Alternative Project Delivery Building Construction
- 3.1 Upon receipt of a written program statement and draft advertisement from a state agency of a project which has been funded and approved by the Kansas Legislature, DFM will submit an advertisement to be published in the *Kansas Register* announcing the SBAC will hold a public hearing with opportunity of comments on the request for an alternative project delivery method. The notice shall be published at least 15 days prior to the hearing.
  - 3.2 If the SBAC determines the eligibility criteria for use of an alternative project delivery method is not met and the project does not qualify, the agency will be notified to use the traditional design-bid-build delivery method.
  - 3.3 If the SBAC determines the eligibility criteria for use of an alternative project delivery method is met, the agency will be notified they can proceed with the proposed alternative method of project delivery.
- 4.0 Announcement of Alternative Project Delivery Building Construction
- 4.1 Upon approval of the use of an alternative project delivery method, DFM will submit an advertisement to be published in the *Kansas Register* requesting proposals for the approved method from construction management at-risk or design-build firms interested in the project. The *Kansas Register* is the **official** publication where all requests for alternative delivery methods for state-funded building construction projects are announced.
  - 4.2 The *Kansas Register* is published every Thursday by the Kansas Secretary of State. The *Kansas Register* is available on line at [http://www.kssos.org/pubs/pubs\\_kansas\\_register.asp](http://www.kssos.org/pubs/pubs_kansas_register.asp) and is available in many libraries throughout the state. Subscriptions to the *Kansas Register* may be obtained by contacting the Kansas Secretary of State on the internet at <http://www.kssos.org>, by e-mail at [kansasregister@kssos.org](mailto:kansasregister@kssos.org), or by telephone at 785-296-3489.
- 5.0 SBAC Guidelines for Proposal Submittals
- 5.1 When requests for alternative project delivery services are advertised in the *Kansas Register*, all qualified firms are encouraged to submit proposals to the SBAC indicating their interest in being selected to provide the advertised services.
  - 5.2 Each proposal for advertised services shall consist of the following:
    - 5.2.1 A one-page letter of interest including a synopsis of qualifications; completed State of Kansas Capital Improvement Project Qualifications FPDC Forms 051, 052, 053, and 054; any photographs or information relevant to the advertised services; and information specifically requested in the advertisement FPDC Forms 051, 052, 053, and 054 can be altered to accommodate each firm's qualifications.

- 5.2.2 A maximum of forty (40) pages of **readable** surfaces, which may be double-sided. Double-sided proposals do **not** increase the forty (40) page readable surfaces limit. Covers, separation tabs and the Professional Qualification FPDC Form(s) 050 do not count toward the forty (40) page readable surface limit.
  - 5.2.3 An **updated** State of Kansas Professional Qualifications FPDC Form 050, for each proposing firm and each consulting firm should be included at the end of each proposal.
- 5.3 Proposal Submittals for advertised services shall consist of the following:
  - 5.2.4 Five (5) sets of the proposal, each bound with a plastic or spiral binder, stapled, or submitted in a loose-leaf binder.
  - 5.2.5 **One** .PDF file of the entire proposal less than 7 MB in size.
    - 5.2.5.1 The .PDF file can be submitted either by e-mail to DFM or on a CD / DVD accompanying the five proposals. Do not provide .ZIP files.
- 5.3 For completing FPDC Forms 051, 052, 053, and 054, use the information in Chapter 4, paragraph 4.2, 4.3 and 4.4.
- 5.4 DFM will receive, review and deliver all submittals to the SBAC. Improper and late submittals will be noted and delivered to the SBAC but may not receive consideration.
  - 5.6.1 Firms interested in tracking the delivery of their submittal should do so through their delivery service, not DFM.
  - 5.6.2 The SBAC requests an explanation for late submittals. A written letter or e-mail to DFM from the firm explaining why the submittal is late will be delivered to the SBAC.
- 6.0 Construction Management At-Risk Project Delivery Procedures
  - 6.1 General Information
    - 6.1.1 DFM shall determine the scope and level of detail required to permit qualified construction managers or general contractors to submit construction management at-risk proposals in accordance with the agency's proposal.
    - 6.1.2 Construction manager or general contractor shall be selected as early as during the schematic design phase and prior to completion of the construction documents phase.
    - 6.1.3 The project design professional may be employed or retained by the agency to assist in the construction manager at-risk selection process. The design professional shall be selected and contracted separately ([K.S.A. 75-1257](#)).
    - 6.1.4 DFM on behalf of the agency shall publish a notice of a request for Statement of Qualification (SOQ) and a Request for Proposal (RFP) for the required project services at least 15 days prior to the commencement of such requests in the *Kansas Register*. The notice shall include a description of the project, the procedures for submittal, the selection criteria to be used, the time and place and other specific instructions for the receipt of the proposals. Proposals not submitted in strict accordance with such instructions shall be subject to rejection.
  - 6.2 DFM shall solicit proposals on behalf of the agency in a three-stage qualifications-based selection process.

- 6.2.1 Phase I shall be the solicitation of qualifications and pre-qualifying a minimum of three but not more five construction managers or general contractors to advance to Phase II.
  - 6.2.2 Phase II shall be the solicitation of a Request for Proposal (RFP) for the project.
  - 6.2.3 Phase III shall include an interview with each proposer to present their qualifications and to answer questions.
- 6.3 Phase I Requirements. Submit a Statement of Qualifications (SOQ) with the following minimum information.
  - 6.3.1 Similar project experience.
  - 6.3.2 Experience in this type of project delivery system.
  - 6.3.3 Reference from design professionals and owners from previous projects.
  - 6.3.4 Description of the construction manager or general contractor project management approach.
  - 6.3.5 Financial statements may be required by the selected firm, pursuant to [K.S.A. 45-221\(a\)\(33\)](#).
  - 6.3.6 Bonding capacity, including providing a public works bond ([K.S.A. 60-1111](#)) and evidence of such bonding capacity submitted to SBAC with the SOQ. Failure to present such evidence will deem the firm as unqualified for selection under this subsection.
- 6.4 Phase II Process. Pre-qualified firms selected in Phase I shall receive a RFP requiring a more in-depth response including the following minimum information.
  - 6.4.1 Company overview.
  - 6.4.2 Experience or references, or both, relative to the project under consideration.
  - 6.4.3 Resumes of proposed project personnel.
  - 6.4.4 Overview of pre-construction services.
  - 6.4.5 Overview of construction planning.
  - 6.4.6 Proposed safety plan.
  - 6.4.7 Fees, including fees for pre-construction services, fees for general conditions, fees for overhead and profit, and fees for self-performed work.
- 6.5 Phase III Process
  - 6.5.1 Upon receipt of all proposals, the negotiating committee shall interview all proposers, allowing firms to present their proposed team members, qualifications, project plan, and to answer questions. Interview scores shall not account for more than 50% of the total possible score.



- 6.5.2 The negotiating committee shall select the firm providing the best value based on the proposal criteria and weighting factors identified by the agency in the RFP instructions to proposers to emphasize important elements of the project.
  - 6.5.3 The negotiating committee shall proceed to negotiate with and to enter into contract with the firm receiving the best total score to provide the construction management at-risk services.
    - 6.5.3.1 Negotiations procedure shall be the same process undertaken to contract with design professionals ([K.S.A. 75-1250](#)).
    - 6.5.3.2 Should the PNC be unable to negotiate a satisfactory contract with the firm scoring the best score, negotiations with that firm will terminate and the committee will begin negotiations with the firm with next best score.
  - 6.5.4 If the negotiating committee determines that it is not in the best interest of the agency to proceed with the project pursuant to the proposals offered, the committee shall reject all proposals. If all proposals are rejected, DFM may solicit new proposals using different design criteria, budget constraints, or qualifications.
  - 6.5.5 The contract to perform construction management at-risk (CM) services shall be prepared by the secretary of administration and entered into between the agency and the firm performing the services. A contract utilizing a cost-plus guaranteed maximum price shall return all savings under the guaranteed maximum to the agency.
- 6.6 Construction Phase Process
- 6.6.1 DFM shall publish a construction services bid notice in the *Kansas Register* and in such other appropriate manner for the construction manager as may be determined by the state agency.
    - 6.6.1.1 Each bid notice shall include the request for bids and other bidding information prepared by the CM and the agency with the assistance of DFM.
    - 6.6.1.2 Current statements of qualifications and performance data, along with all information and evaluations developed by the secretary of administration under K.S.A. 75-3783 of firms submitting bid proposals shall be made available to the construction manager and the agency. If a firm submitting a bid proposal fails to submit the requested information, such firm will be deemed unqualified for selection.
    - 6.6.1.3 The agency may allow the CM to self-perform construction services provided the CM submits a bid proposal under the same conditions as all other competing firms.
    - 6.6.1.4 The CM shall evaluate the bids to determine the lowest responsible bidder, except the agency and DFM shall determine the lowest responsible bidder for self-performed work.
    - 6.6.1.5 The CM will enter into a contract with each firm performing construction services for the project and make a public announcement of each firm selected.

**7.0 Design-Build Project Delivery Procedures****7.1 General Information**

- 7.1.1 DFM shall determine the scope and level of detail required to permit qualified persons to submit design-build proposals in accordance with the agency's request for proposal.
- 7.1.2 DFM on behalf of the agency shall publish a notice of a Request for Proposal (RFP) for the required project services at least 15 days prior to the commencement of such request in the *Kansas Register*. The notice shall include a description of the project, the procedures for submittal, the selection criteria to be used, the time and place and other specific instructions for the receipt of the proposals. Proposals not submitted in strict accordance with such instructions shall be subject to rejection.
- 7.1.3 Request for Proposal (RFP) shall be prepared by the agency containing the following minimum information.
  - 7.1.3.1 Procedures to be followed for submitting proposals, the criteria for evaluation of proposals and their relative weight, and the procedures for making awards.
  - 7.1.3.2 Proposed terms and conditions of the design-build contract.
  - 7.1.3.3 Design criteria package.
  - 7.1.3.4 Description of drawings, specifications, or other information to be submitted with the proposal, with guidance as to the form and level of completeness of the submittal that will be acceptable.
  - 7.1.3.5 Schedule for planned commencement and completion of the design-build contract.
  - 7.1.3.6 Budget limits for the design-build contract.
  - 7.1.3.7 Requirements, including any available ratings for security (bid) bonds, performance bonds, payment bonds, and insurance.
  - 7.1.3.8 Other information the agency chooses to supply, such as surveys, soil reports, drawings of existing structures, environmental studies, photographs, or references to public records.

**7.2 SBAC shall evaluate submitted proposals as in accordance with the requirements of the RFP and as follows.**

- 7.2.1 Assign points to each proposal in each Phase in accordance with the instructions of the RFP.
- 7.2.2 SBAC shall have discretion to disqualify any proposer that lacks the minimum qualifications required to perform the work.
- 7.2.3 Qualified proposers selected will proceed to Phase II of the selection process.
- 7.2.4 Proposers lacking the necessary qualifications shall not proceed to Phase II.
- 7.2.5 If three qualified proposers cannot be identified, the contracting process shall cease.

- 7.2.6 Price or fee shall not be considered as part of the Phase I prequalification criteria.
- 7.2.7 Designers shall be evaluated in accordance with the requirements of [K.S.A. 74-7003](#).
- 7.2.8 Points assigned in the Phase I evaluation process shall not carry forward to Phase II of the process.
- 7.2.9 Qualified proposers shall be ranked on points given in Phases II and III only. The two-phase evaluation and scoring process shall be combined to determine the greatest value to the state agency.
- 7.3 DFM shall solicit proposals in a three-stage qualifications-based selection process.
  - 7.3.1 Phase I shall be the solicitation of qualifications and pre-qualifying a minimum of three but not more five design-build teams to advance to Phase II.
  - 7.3.2 Phase II shall be the solicitation of a technical proposal including conceptual design for the project.
  - 7.3.3 Phase III shall be the proposal for the construction cost.
- 7.4 Phase I Requirements. Submit a Statement of Qualifications (SOQ) with the following minimum information.
  - 7.4.1 Demonstrate ability to perform projects comparable in design, scope, and complexity.
  - 7.4.2 References from owners for whom building-design projects have been performed.
  - 7.4.3 Qualifications of personnel who will manage the design and the construction aspects of the project.
  - 7.4.4 Names and qualifications of the primary design consultants and contractors with whom the design-builder proposes to (sub) contract. Identified consultants or contractors may not be replaced without the written approval of the agency.
  - 7.4.5 Bonding capacity, including providing a public works bond ([K.S.A. 60-1111](#)) and evidence of such bonding capacity submitted to SBAC with the SOQ. Failure to present such evidence will deem the firm as unqualified for selection under this subsection.
- 7.5 Phase II Process. Pre-qualified firms selected in Phase I shall receive a RFP requiring their technical proposal and conceptual design for the project. Proposals for cost of construction shall also be required.
  - 7.5.1 Proposals for Phase II and Phase III shall be submitted concurrently. Cost proposals shall be opened only after the design proposals have been evaluated and assigned points.
  - 7.5.2 Proposers shall submit their design for the project to the level of detail required in the RFP.
  - 7.5.3 Design submittal shall be evaluated and assigned points in accordance with the requirements of the RFP.

- 7.5.4 Maximum of 20% of the points awarded in Phase II may be based on proposer's qualifications and ability to design, construct, and deliver the project on time and within budget.
  - 7.5.5 Design proposal shall not contain any reference to cost of the proposal.
- 7.6 Phase III Process
  - 7.6.1 Proposal for a firm fixed cost of construction shall be accompanied by bid security and any other submittals as required by the RFP.
  - 7.6.2 Proposed contract time, in calendar days, for completing the project as designed by the proposer shall be considered as an element of evaluation. The RFP shall establish any acceptable alternates to the design and corresponding contract time criteria. The RFP shall establish a user delay value for each calendar day.
  - 7.6.3 Cost and schedule proposals shall be submitted in accordance with the RFP. Failure to submit a cost proposal on time shall be cause to reject the proposal.
  - 7.6.4 Cost and schedule shall be opened and read aloud at the time and place specified in the RFP. Evaluation team shall make public its scoring of Phase II at the opening.
- 7.7 Selection Process
  - 7.7.1 Cost proposals shall be evaluated in accordance with the RFP. Each proposer's adjusted score shall be determined by adding Phase III cost proposal to the product of the proposed contract time and the user delay cost, and dividing that sum by the Phase II score.
  - 7.7.2 Responsive proposer with the lowest total number of points shall be awarded the contract.
  - 7.7.3 If DFM determines that it is not in the best interest of the agency to proceed with the project pursuant to the proposals offered by the proposer with the lowest total number of points, DFM shall reject all proposals. If all proposals are rejected, all qualified proposers with higher point totals shall receive a stipend and the proposer with the lowest number of points shall receive an amount equal to two times such stipend.
  - 7.7.4 If all proposals are rejected, DFM may solicit new proposals using different design criteria, budget constraints, or qualifications.
- 7.8 Stipend
  - 7.8.1 Agency shall pay a stipend as an inducement to qualified proposers for design-build proposals, to each pre-qualified proposer whose proposal is responsive but not accepted.
  - 7.8.2 Stipend amount shall be established in the RFP.
  - 7.8.3 Upon payment of the stipend to an unsuccessful design-build proposer, the state shall acquire a nonexclusive right to use the design submitted by the proposer. The proposer shall have no further liability for its use by the state in any manner.
  - 7.8.4 If proposer desires to retain all rights and interest in the design proposed, the proposer shall forfeit the stipend.

**7.9 Record of Selection Process**

- 7.9.1 Bids conforming to the terms of the advertisement for design-build services, together with the name of the bidders and with the successful bidder indicated, shall be recorded and made available to public inspection upon request after the letting of the bid.
- 7.9.2 DFM shall, within five days after award of the contract, publish the name of the successful bidder. The public notice shall show the phase II and III scores and the adjusted final score.
- 7.9.3 DFM shall, within five days after award of contract, have the names of all proposers whose bids were not selected, together with phase II and III scores and the final adjusted score for each, available for public review.

**8.0 Kansas Open Records Act**

- 8.1 Requests for copies of public records should be addressed in writing to the Director of Division of Facilities Management, 900 Jackson, Room 600, Topeka, Kansas 66612, in accordance with the Kansas Open Records Act (K.S.A. 42-15 et seq.) at <http://da.ks.gov/purch/KSOpenRecAct.doc>.
- 8.2 Advance payment of a fee is required to receive copies of public records.
- 8.3 When copies of project proposals received by DFM are requested, firms will be able to purchase paper copies or a CD / DVD from the State's contracted printing company after paying in advance.
- 8.4 Copies of the proposals will be available after a contract is signed between the selected firm and the Secretary of Administration.

9.0 Approval and Selection Process Outlines

9.1 Construction Management At-Risk

	Activity	Time Sequence / Requirements	Target Week	Days Allocated	Actual Project Time Example
	Annual Statement of Qualifications (submit annually or for specific project)	January of each year	-	-	
PRE-PHASE - Project Approval/Disapproval (5 weeks / 35 days)	<b>Agency</b> submits to DFM written program and request to utilize Alt. Delivery Method	Minimum 1 week prior to SBAC meeting	-1	7	
	<b>DFM / Agency</b> drafts advertisement for public hearing regarding using CM At-Risk	Complete prior to SBAC meeting	-	-	
	<b>SBAC</b> establishes a date/time for public hearing at next scheduled meeting	<b>Second Wednesday of each month</b>	<b>0</b>	<b>0</b>	
	<b>DFM</b> submits advertisement to <i>Kansas Register</i>	NLT Wednesday of each week	-	-	
	<b>Kansas Register</b> published	Thursday following the Wednesday deadline	1	8	
	<b>SBAC</b> conducts public hearing (typically on date of and prior to next meeting)	Minimum 15 days after advertisement	4	20	
	<b>SBAC</b> determines if project meets criteria	Process continues - Yes/No	-	-	
PHASE I - SOQ & Nominations (6 weeks / 40 days)	<b>DFM / Agency</b> drafts advertisement for SOQ from CM At-Risk firms	Complete prior to ad submittal date	5	7	
	<b>DFM / Agency</b> drafts RFP for CM At-Risk firms	RFP can be written prior to SBAC nominations	-	-	
	<b>DFM</b> submits advertisement to <i>Kansas Register</i> to request SOQ	NLT Wednesday of each week	-	-	
	<b>Kansas Register</b> published	Thursday following the Wednesday deadline	6	8	
	<b>Firms</b> submit SOQ	Minimum 15 days after advertisement	8	15	
	<b>SBAC</b> receives proposals for review and nominations at next meeting	Minimum 10 days before 2nd Wednesday of month	10	10	
	<b>Firms</b> notified of selection	After meeting	-	-	
PHASE II - RFP (4 weeks / 30 days)	<b>DFM / Agency</b> prepares final RFP	RFP can be finalized earlier	-	-	
	<b>DFM</b> distributes RFP to nominated firms	Approved RFP available	-	-	
	<b>Firms</b> submit RFP	Minimum 30 days after advertisement	14	30	
PHASE III - Selection, Negotiation & Contract (5 weeks / 35 days)	<b>PNC</b> receives RFQ for review, interviews and selection	Time required depends on project complexity	15	7	
	<b>PNC</b> establishes interview dates and conducts interviews	Time required depends on availability of PNC & firms	16	7	
	<b>PNC</b> selects best value proposal and negotiates final contract	Time required depends on project complexity	17	7	
	<b>DFM</b> prepares contract		18	7	
	<b>CM At-Risk &amp; Agency</b> sign contract	End of Process	19	7	
	<b>CM At-Risk</b> starts work		<b>( 20 )</b>	140	

9.2 Design Build

	Activity	Time Sequence / Requirements	Target Week	Days Allocated	Example Actual Project Time
	Annual Statement of Qualifications (submit annually or for specific project)	January of each year	-	-	
PRE-PHASE - Project Approval/Disapproval (5 weeks / 35 days)	<b>Agency</b> submits to DFM written program and request to utilize Alt. Delivery Method	Minimum 1 week prior to SBAC meeting	-1	7	
	<b>DFM / Agency</b> drafts advertisement for public hearing regarding using Design-Build	Complete prior to SBAC meeting	-	-	
	<b>SBAC</b> establishes a date / time for public hearing at next scheduled meeting	<b>Second Wednesday of each Month</b>	<b>0</b>	<b>0</b>	
	<b>DFM</b> submits advertisement to <i>Kansas Register</i>	NLT Wednesday of each week	-	-	
	<b>Kansas Register</b> published	Thursday following the Wednesday deadline	1	8	
	<b>SBAC</b> conducts public hearing (typically on date of and prior to next meeting)	Minimum 15 days after advertisement	4	20	
	<b>SBAC</b> determines if project meets criteria	Process continues - Yes/No	-	-	
PHASE I - SOQ & Nominations (6 weeks / 40 days)	<b>DFM / Agency</b> drafts advertisement for SOQ from Design-Build firms	Complete prior to ad submittal date	5	7	
	<b>DFM / Agency</b> drafts RFP for Design-Build firms	FRP can be written prior to SBAC nominations	-	-	
	<b>DFM</b> submits advertisement to <i>Kansas Register</i> to request SOQ	NLT Wednesday of each week	-	-	
	<b>Kansas Register</b> published	Thursday following the Wednesday deadline	6	8	
	<b>Firms</b> submit SOQ	Minimum 15 days after advertisement	8	15	
	<b>SBAC</b> receives proposals for review and nominations at next meeting	Minimum 10 days before 2nd Wednesday of month	10	10	
	<b>Firms</b> notified of selection	After meeting	-	-	
PHASE II - RFP (6 weeks / 45 days)	<b>DFM / Agency</b> prepare final RFP	RFP can be finalized earlier	-	-	
	<b>DFM</b> distributes RFP to nominated firms	Approved RFP available	-	-	
	<b>Firms</b> submit RFP	Minimum 45 days after advertisement	16	45	
PHASE III - Selection, Negotiation & Contract (5 weeks / 35 days)	<b>PNC</b> receive RFQ for interviews and selection	Time required depends on project complexity	17	7	
	<b>PNC</b> establishes interview dates and conducts interviews	Time required depends on availability of PNC & firms	18	7	
	<b>PNC</b> selects best value proposal and negotiates final contract	Time required depends on project complexity	19	7	
	<b>DFM</b> prepares contract		20	7	
	<b>Design-Builder &amp; Agency</b> sign contract	End of Process	21	7	
	<b>Design-Builder</b> starts work	NTP issued	<b>( 22 )</b>	155	

END OF CHAPTER 4a

**CHAPTER 5 – SELECTION OF THE PROJECT ARCHITECT OR PROJECT ENGINEER****1.0 Negotiating Committee**

- 1.1 A negotiating committee is established to interview the nominated architectural or engineering, firms, and to select and negotiate fees with the selected firm. When the negotiating committee is notified of the State Building Advisory Commission's (SBAC) nominations, interviews are scheduled with the nominated firms for each proposed project. Nominated firms will be provided a scope of work or program of the project, and are encouraged to visit the project site to gather information regarding the advertised project and to prepare supplemental information pertinent to the project for presentation to the negotiating committee during interviews.
- 1.2 Each negotiating committee shall consist of the following members:
  - 1.2.1 The head of the state agency for which the proposed project is planned or designee.
  - 1.2.2 The head of the institution for which the proposed project is planned or designee.
  - 1.2.3 A person designated by the Secretary of Administration who shall act as chairperson of the committee.
- 1.3 The negotiating committee shall have access to the current statements of qualification and performance data on the firms nominated by the SBAC. The committee shall interview each of the firms regarding the anticipated project and select a single firm, (unless the project was advertised for multiple selections). Results of the negotiating committee's selection(s) will be available on the DFM website at <http://da.ks.gov/fp/construction.htm> and to the SBAC at its next meeting.

**2.0 Requirements Prior to Fee Negotiation**

- 2.1 A written description of the scope or program of the project shall be prepared by the head of the state agency for which the project is proposed and submitted to the negotiating committee. (K.S.A. 75-1255)
  - 2.1.1 The negotiating committee may approve the description as submitted or may revise and amend or reject all or any part of such description.
  - 2.1.2 The description in the form approved by the negotiating committee shall be used in the negotiations between the committee and qualified firms.
  - 2.1.3 Such description shall be the basis for the project development and the project description shall not be altered therefrom without the prior approval of the negotiating committee.
- 2.2 Fee Negotiation Checklist FPDC Form 102, completed by the agency.
- 2.3 Project A/E Services FPDC Form 103, which designates services as either program services typically required by projects or additional services atypical of most projects, completed by the agency.
  - 2.3.1 Modifications to Form 103 shall be identified and attached to Form 102.
- 2.4 The program and the level of services described by the agency in Forms 102 and 103 will be given to the selected firm by DFM for the firm's review and verification. (K.S.A. 75-1257)



**3.0 Fee Negotiation**

- 3.1 Each negotiating committee shall negotiate a contract with the selected firm for the type of professional services required at a fair and reasonable rate of compensation in accordance with: [\(K.S.A. 75-1257 & 75-1263\)](#)
  - 3.1.1 the Secretary of Administration's published guidelines (located at the end of this chapter) for fees based on the projected cost of a project, the complexity of a project, the type of construction for the project and the level of services to be provided, as factors in establishing the rate or amount of such fees. [\(K.S.A. 75-1257 & 75-1263\)](#)
  - 3.1.2 the completed Fee Negotiation Checklist, the Project A/E Services and the BDCM.
- 3.2 Should the negotiating committee be unable to negotiate a contract with the firm considered to be the most qualified within the fee limits established, the committee shall then undertake negotiations with the second most qualified firm to negotiate a contract, and so forth with the third, fourth, and fifth firms, if necessary. Should the negotiating committee be unable to negotiate a satisfactory contract with any of the selected firms, the committee shall reevaluate the services and fee requirements and reopen negotiations with any of the nominated firms”.
- 3.3 Should the negotiating committee still be unable to enter into a contract with any of the nominated firms, it shall request the SBAC to provide another list of nominees.
- 3.4 The fee for professional design on-call services may be negotiated on the following basis: as an hourly rate, as a percentage of the estimated construction cost, or as a percentage of the construction contract award.

**4.0 Contracts**

- 4.1 Each firm shall be responsible for all negligent acts, errors or omissions in the performance of the contract and will be required to have professional liability insurance as determined by the fee negotiations. [\(K.S.A. 75-1257\)](#)
- 4.2 Each contract for professional services negotiated shall be entered into between the Secretary of Administration, the agency and the firm selected [\(K.S.A. 75-1258\)](#)
- 4.3 Each contract shall specify the responsibilities undertaken by the firm as outlined in the negotiation minutes prepared and coordinated by the Chair of each negotiating committee. The negotiating minutes will be attached to the contract after being signed by the firm and the negotiating committee.
- 4.4 Contracts are written as lump sum not-to-exceed contracts and may only be changed if the scope of work in the original program is revised by a contract amendment negotiated between the firm and the negotiating committee.

<b>A/E FEE GUIDELINES USING CRITERIA FOR: COST / COMPLEXITY / TYPE / SERVICES</b>									
Construction Cost	<b>\$750,000</b>			<b>\$1,500,000</b>			<b>\$2,500,000</b>		
Complexity/Construction Type	New	Combined	Remodel	New	Combined	Remodel	New	Combined	Remodel
<b>Utilitarian</b> (Considerably Less Than Ave)	<b>7.00%</b>	<b>8.00%</b>	<b>9.00%</b>	<b>6.75%</b>	<b>7.75%</b>	<b>8.75%</b>	<b>6.50%</b>	<b>7.50%</b>	<b>8.50%</b>
<b>Conventional</b> (Less Than Average)	<b>7.75%</b>	<b>8.75%</b>	<b>9.75%</b>	<b>7.50%</b>	<b>8.50%</b>	<b>9.50%</b>	<b>7.25%</b>	<b>8.25%</b>	<b>9.25%</b>
<b>Moderately Complex</b> (Average)	<b>8.50%</b>	<b>9.50%</b>	<b>10.50%</b>	<b>8.25%</b>	<b>9.25%</b>	<b>10.25%</b>	<b>8.00%</b>	<b>9.00%</b>	<b>10.00%</b>
<b>Comparatively Complex</b> (More Than Average)	<b>9.25%</b>	<b>10.25%</b>	<b>11.25%</b>	<b>9.00%</b>	<b>10.00%</b>	<b>11.00%</b>	<b>8.75%</b>	<b>9.75%</b>	<b>10.75%</b>
<b>Complex</b> (Considerably More Than Ave)	<b>10.00%</b>	<b>11.00%</b>	<b>12.00%</b>	<b>9.75%</b>	<b>10.75%</b>	<b>11.75%</b>	<b>9.50%</b>	<b>10.50%</b>	<b>11.50%</b>

Construction Cost	<b>\$5,000,000</b>			<b>\$7,500,000</b>			<b>\$10,000,000</b>		
Complexity/Construction Type	New	Combined	Remodel	New	Combined	Remodel	New	Combined	Remodel
<b>Utilitarian</b> (Considerably Less Than Ave)	<b>6.25%</b>	<b>7.25%</b>	<b>8.25%</b>	<b>6.00%</b>	<b>7.00%</b>	<b>8.00%</b>	<b>5.75%</b>	<b>6.75%</b>	<b>7.75%</b>
<b>Conventional</b> (Less Than Average)	<b>7.00%</b>	<b>8.00%</b>	<b>9.00%</b>	<b>6.75%</b>	<b>7.75%</b>	<b>8.75%</b>	<b>6.50%</b>	<b>7.50%</b>	<b>8.50%</b>
<b>Moderately Complex</b> (Average)	<b>7.75%</b>	<b>8.75%</b>	<b>9.75%</b>	<b>7.50%</b>	<b>8.50%</b>	<b>9.50%</b>	<b>7.25%</b>	<b>8.25%</b>	<b>9.25%</b>
<b>Comparatively Complex</b> (More Than Average)	<b>8.50%</b>	<b>9.50%</b>	<b>10.50%</b>	<b>8.25%</b>	<b>9.25%</b>	<b>10.25%</b>	<b>8.00%</b>	<b>9.00%</b>	<b>10.00%</b>
<b>Complex</b> (Considerably More Than Ave)	<b>9.25%</b>	<b>10.25%</b>	<b>11.25%</b>	<b>9.00%</b>	<b>10.00%</b>	<b>11.00%</b>	<b>8.75%</b>	<b>9.75%</b>	<b>10.75%</b>

**Notes:**

Each complexity factor and each construction type are established at a normal or typical level of difficulty. Individual projects levels may be evaluated compared to the presumed levels.

Combined projects include both new construction, such as an addition, and remodeling construction.

Projects with a Construction Cost between the listed cost values shall have fee values interpolated within the corresponding Fee Ranges.

Projects with a Construction Cost less than \$750,000 shall be negotiated as if the A/E delivery is for an "On-Call" contract.

Projects with a Construction Cost greater than \$10,000,000 shall be evaluated by extending Construction Cost in multiples \$2,500,000 with adjustments in Fee Range of 0.25% for Construction Type and 0.75% for Complexity.

Reference the separate list of Complexity Factors for Assigned Building Types Program Services listed in FPDC Form 103 "Services Provided by the Project Architect/Engineer" are established for a typical project.

A/E Fee Guidelines is established for use in evaluating Architecture-only or combined Architecture and Engineering Projects. Engineering-only projects may require different/adjusted criteria.

COMPLEXITY FACTOR FOR ASSIGNED BUILDING TYPE				
Utilitarian (Considerably Less Than Ave.)	Conventional (Less Than Average)	Moderately Complex (Average)	Comparatively Complex (More Than Average)	Complex (Considerably More Than Ave.)
Projects of simple, utilitarian character without complication or detail and with a high degree of repetition.	Projects of simple character requiring normal attention to design, detail, and with moderate repetition.	Projects of conventional character requiring normal attention to design and detail, complete mechanical and electrical systems.	Projects of specialized character requiring a high degree of skill in design, containing large amounts of complex scientific mechanical and electrical equipment.	Projects of detail character requiring elaborate planning and execution and devoid of repetition.
Agricultural Dam (Earthen) Construction Dam (Earthen) Renovation Grandstand Hangar Industrial Buildings Maintenance Shops Parking Structures Perimeter Security Towers Pre-engineered Structure Prototype Facilities (replication of previously designed facilities) Site Adaptations of Existing Designs Storage Facilities Warehouses	Apartments Armories Bakery Basic Building Structure without interior layout design Boat Ramps Bowling Alley Dining Facilities Dormitories Food Service Greenhouses Gymnasium Historical Facilities requiring only repairs Historical Monuments Laundry Detention / Correctional Facilities – Minimum Natatorium Offices Buildings without partitions Park Shelters Printing Plant Shop & Maintenance Facilities Site Work: Water, Sewers, Streets, Fences, Walks, Parking Lots, Park Trails, Landscaping, Signage, Site Lighting Stadium	Archive Building Auditorium Cellhouse Central Utility Plants Chapel Child Care Classrooms – General Day Care Facilities Detention / Correctional Facilities – Medium Dietary Facilities / Kitchens / Cafeterias Fire & Police Stations Fish Hatchery Floating Docks Recreational Facilities Heating Plant High Voltage Electrical Service / Distribution Laboratory (Dry) Lagoon Library Marinas Medical Office Facilities & Clinics Mental Hospitals - Non-secure Museum Offices Office Buildings with tenant improvements Power Plant Recreation Facility Restroom & Shower Buildings Schools: Sight / Hearing / Physically Impaired Shooting Range – Outdoor Shower Buildings Student Center Student Union / Center Swimming Pool – Natatorium Visitors / Interpretive Centers	Broadcast Studio Classroom – Specialized Computer Center Control Centers Detention / Correctional Facilities – Maximum Fish Hatcheries Food Service Facilities Historical Facilities requiring complete restoration Laboratory – Teaching (Wet) Medical Clinic Mental Hospitals – Secure Museums Observatories Residences Theaters Veterinary Hospital	Computing Center Hospitals Laboratory – Research (Wet) Medical Hospital Science & Medical Research Buildings

SERVICES PROVIDED BY THE PROJECT ARCHITECT / ENGINEER			
Description		Program	Additional
	Project Administration	X	
	Document Existing Facility		X
	Review of Existing Building Systems (MEP Structural, Fire alarm, Sprinkler etc)	X	
	Extensive Review / Evaluation of Existing Building Systems		X
	Coordination of Owner Supplied Data	X	
	Review of Program	X	
	Programming		X
	Master Planning		X
	Establish Project Time Schedule	X	
	Design Review Meetings	X	
	Facility Study to determine project scope		X
	Concept and Schematic Design	X	
	Design Development	X	
	Detailed Code Analysis / Code Footprint	X	
	Code Analysis outside project scope		X
	Compliance with ADAAG	X	
	Visit Like Facilities		X
	On-site Utilities Design	X	
	Off-site Utilities Design		X
	Construction Phasing		X
	Coordination with Local Jurisdictions outside code compliance issues		X
	Public Information Meetings / Presentations		X
	Regulatory Reviews (EPA, FAA, KDHE, etc)		X
	Energy Code Compliance	X	
	Renderings	X	
	Presentation models and/or Fundraising materials		X
	Life Cycle Cost Analysis		X
	Specialty Consultants		X
	Building Security Systems	X	
	Office/Classroom Telecommunications System Design and Construction Documents	X	
	Specialty Telecommunications System design and Construction Documents		X
	Energy Studies		X
	Environmental Studies		X
	Way finding design (Signage)	X	
	LEED Certification		X
	Architectural Design and Construction Documents	X	
	Structural Design and Construction Documents	X	
	Mechanical Design Construction Documents	X	

Description		Program	Additional
	Electrical Design Construction Documents	X	
	Fire Alarm and Life Safety Systems Design and Construction Documents	X	
	Fire Suppression Evaluation Design	X	
	Fire Suppression system Final Design and Construction Documents		X
	Civil Design Construction Documents	X	
	Landscape Design Construction Documents	X	
	Food Service Design and Construction Documents	X	
	Construction Document Review Meetings	X	
	Discipline Coordination	X	
	Detailed Construction Cost Estimates at all Phases of design.	X	
	Materials Research and Specification Writing	X	
	Bidding Services (addenda, pre-bid, substitutions)	X	
	Shop Drawing Review and Approval	X	
	Pre-construction Conference	X	
	Excessive Travel Distance		X
	Construction Field Inspection and Reports	X	
	Architect/engineer to inspect concealed spaces prior to spaces being covered up	x	
	Architect to inspect project to ensure compliance with Construction Documents	X	
	Engineer(s) to inspect project to ensure compliance with Construction Documents	X	
	Engineer(s) to be present for final life safety systems testing	X	
	RFI and Change Order Processing	X	
	Construction Change Directives	X	
	Project Schedule Monitoring	X	
	Construction Progress Meetings	X	
	Review and Approval of Contractor's Pay Apps.	X	
	Final Inspections and Reports	X	
	As-Builts	X	
	O & M Manuals and Training	X	
	Warranty Review	X	
	Commissioning		X
	Special Testing		X
	Project Specific - List		

<b>A/E FEE NEGOTIATION CHECKLIST</b>					
<b>Agency</b>		Construction Budget	\$0.00		
<b>Project Title</b>					
<b>Project Number</b>					
<b><u>Administrative</u></b>					
Architect is required to have liability insurance for this project. Minimum amount of coverage is 5%.					\$0.00
Visit Like Facilities.	<input type="checkbox"/> Yes	<input type="checkbox"/> No			
Life Cycle Cost Analysis.	<input type="checkbox"/> Yes	<input type="checkbox"/> No	List Systems		
LEED Certification.	<input type="checkbox"/> Yes	<input type="checkbox"/> No			
Existing Documentation of Building.	<input type="checkbox"/> Available from DFM	<input type="checkbox"/> Electronic	<input type="checkbox"/> Paper		
	<input type="checkbox"/> Available from Agency	<input type="checkbox"/> Electronic	<input type="checkbox"/> Paper		
	<input type="checkbox"/> Project architect/engineer to create				
	<input type="checkbox"/> Extensive verification and site investigation				
Existing Facility Study used to determine project scope.	<input type="checkbox"/> Yes	<input type="checkbox"/> No			
Programming is required by the architect/engineer.	<input type="checkbox"/> Yes	<input type="checkbox"/> No			
Additional evaluation / examination of existing MEP systems including viability and life span.	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Which systems?		
<b><u>Design (Schematic/ Design Development)</u></b>					
Code Review / Analysis outside the scope of this project.	<input type="checkbox"/> Yes	<input type="checkbox"/> No			
Energy Code Compliance.	<input type="checkbox"/> Yes	<input type="checkbox"/> No			
Frequency of Reviews.	Per Manual (Concept, Schematic, DD)				
	<input type="checkbox"/>	Other than prescribed in Manual			
Review Documents.	Explain requirements				
	Per Manual (5 sets - 2 to DFM, 3 to agency/user agency)				
	<input type="checkbox"/>	Other than prescribed in Manual.			
Additional Reviews with Committees or public information meetings.	Explain requirements				
Coordination with Local Jurisdictions for utilities/services.	<input type="checkbox"/> Yes	<input type="checkbox"/> No	How many?		
Regulatory Reviews (EPA, FAA, KDHE, etc).	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Explain		
Rendering, Presentation Model or Tools required for fund raising.	<input type="checkbox"/> Yes	<input type="checkbox"/> No	How many?		
	<input type="checkbox"/> Rendering (computer is std.)	<input type="checkbox"/> Other Media			
	<input type="checkbox"/> Presentation Model	<input type="checkbox"/> Fund Raising			

<b>A/E FEE NEGOTIATION CHECKLIST</b>					
<b>Agency</b>	<hr/>	Construction Budget	<hr/> \$0.00		
<b>Project Title</b>	<hr/>				
<b>Project Number</b>	<hr/>				
<div style="display: flex; justify-content: space-between;"> <div style="width: 30%;">                     Building Security Systems.                      Specialty Consultants Required                      (Food Service, Acoustical, Detention,                      etc.)                 </div> <div style="width: 30%;"> <input type="checkbox"/> General    <input type="checkbox"/> Detention   <input type="checkbox"/> Yes    <input type="checkbox"/> No                 </div> <div style="width: 35%;">                     List consultants <hr/> </div> </div>					
<b><u>Construction Documents</u></b>					
Frequency of Reviews.	<input type="checkbox"/> Per Manual (30%, 60%, Final) <input type="checkbox"/> Other than prescribed in Manual    Explain <hr/>				
Review Documents (Plans and Specifications).	<input type="checkbox"/> Per Manual (5 sets 2-DFM, 3 to agency / user agency) <input type="checkbox"/> Other than prescribed in Manual    Explain <hr/>				
Number of Bid Packages Required.	<input type="checkbox"/> One (1) <input type="checkbox"/> More than one (1)    How many? <hr/>				
Additional Reviews required by the Funding or Certification agency.	<input type="checkbox"/> Yes <input type="checkbox"/> No    How many? <hr/>				
<b><u>Bidding</u></b>					
Pre-Bid Conference required for project.	<input type="checkbox"/> Yes <input type="checkbox"/> No    If yes, architect/engineer attendance is mandatory				
<b><u>Construction Administration</u></b>					
Attend Pre-construction Conference	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Provide Project Meetings and Site Visits.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Weekly <input type="checkbox"/> Bi-month <input type="checkbox"/> Other <hr/>				
Travel Distance from architect/engineer office to project site	<input type="checkbox"/> Local <input type="checkbox"/> 60 Miles <input type="checkbox"/> > 60 Miles <hr/>				
Travel Time from architect/engineer office to project site	<input type="checkbox"/> < 2 hrs <input type="checkbox"/> 2 - 4 hrs <input type="checkbox"/> > 4 hrs <hr/>				
Construction Duration	<input type="checkbox"/> < 6 mo <input type="checkbox"/> 6 - 12 mo <input type="checkbox"/> 12 - 24 mo <input type="checkbox"/> >24 mo				
Special Testing	List Systems <hr/>				
<b><u>Project Close Out</u></b>					
As-Builts	Per Manual (1 vellum copy to DFM, 1 CD / DVD to DFM, 2 CD / DVD to agency) <input type="checkbox"/> Other than prescribed in Manual    Explain <hr/>				
Commissioning of HVAC systems	<input type="checkbox"/> Yes <input type="checkbox"/> No				

**END OF CHAPTER 5**

## CHAPTER 6 – CAPITAL IMPROVEMENT PROJECT INFORMATION

### 1.0 Project Inception

- 1.1 When a project is planned by a state agency for legislative approval, it is submitted as a capital improvement and funding request in the agency's five-year capital improvement program and facilities plan to the Division of Budget, the SBAC, and the JCSBC by July 1 of each year. With the assistance of the Secretary of Administration, the SBAC reports and makes recommendations on each capital improvement budget estimate to the division of the budget, the JCSBC and the legislative research department by November 15 each year. ([K.S.A. 75-3717\(b\)](#))
- 1.2 When the legislature approves a proposed project, the process for nominating firms for interviews is initiated by the state agency's request to DFM for an advertisement in the *Kansas Register*.

### 2.0 State Forms for Design and Construction

- 2.1 Forms required for the project architect/engineer to properly perform their duties are available at <http://www.da.ks.gov/fp/manual.htm>. These are provided in .DOC / DOCX format.
  - 2.1.1 Forms issued by entities other than the project architect/engineer are available at the same website in .PDF format for informational purposes only.
- 2.2 DFM forms change periodically and should be downloaded from the Internet each time prior to use to alleviate any delay in the processing of paperwork.

### 3.0 DFM Project Number

- 3.1 A DFM project number is required for each capital improvement project and will be assigned to each project by DFM when the agency submits a completed Project Number / Data Request FPDC Form 935 to DFM. Ancillary service projects, miscellaneous studies/reports and any services provided by DFM will also be assigned a project number.
- 3.2 The DFM project number is an A- followed by a 6-digit number. All 6 numbers should be included even if the first number is a 0. (Example A-010254)
- 3.3 The DFM project number shall be used on all correspondence, drawings, specifications, billings, shop drawings and other documents transmitted by the project architect/engineer.

### 4.0 Ancillary Technical Services

- 4.1 Whenever **ancillary technical services** are required, the Secretary of Administration, through DFM, will contract with qualified firms to perform these services which include but are not limited to geological services and other soil or subsurface investigation and testing services; surveying; asbestos, lead paint or other hazardous materials testing; testing and balancing of heating, ventilating, air conditioning and other mechanical building systems; building commissioning; and other testing and consultant services.
- 4.2 Annually, DFM will advertise for firms interested in providing these services to submit a State of Kansas Professional Qualifications FPDC Form 050. This notice will be published in the *Kansas Register* and on the DFM website.



**5.0 Program Changes**

- 5.1 A program may be revised, amended or rejected by the negotiating committee during the development of the project with the understanding that the project architect/engineer is to be fairly compensated for any authorized changes.

**6.0 Additional Services**

- 6.1 When additional services are requested, fees commensurate with the additional services should be negotiated with the negotiating committee prior to performing any said services.
- 6.2 Department of Administration's staff attorney, in accordance with the same procedures as the original contract, will prepare an amendment to the project architect/engineer's contract.
- 6.3 The project architect/engineer shall proceed with additional services only after the signed contract amendment or written authorization from the chair of the negotiating committee is received.
- 6.4 Invoice approval for additional services will follow the same procedures as contract fee payments.

**7.0 Bid Documents Licensure**

- 7.1 All professional licensure shall comply with the Kansas Board of Technical Professions requirements.
- 7.2 Each professional in each discipline that seals original bid drawings for a state capital improvement project shall seal each drawing related to their actual work, and sign and write the current date across each seal.
  - 7.2.1 Each discipline that seals original bid drawings will be part of the titleblock on each drawing that contains their work.
- 7.3 Each professional in each discipline shall also seal a sheet in the specification manual, sign and write the current date across each seal.

**8.0 Copyright and Ownership of Documents****8.1 Copyright of Design**

- 8.1.1 The project architect/engineer retains the copyright on the design (i.e. the overall form as well as the arrangement of and composition of spaces and elements of design.)
- 8.1.2 The copyright is retained by the project architect/engineer after the project is constructed unless conveyed by the project architect/engineer to the Owner.
- 8.1.3 If the Owner wishes to reuse the design, the project architect/engineer must agree and be compensated accordingly.

**8.2 Ownership of Documents**

- 8.2.1 The project architect/engineer retains ownership of the documents prepared for the project. This includes both plans and specifications both printed and electronic copies.
- 8.2.2 Except for the state's detention facilities, it is the project architect/engineer's responsibility to approve / disapprove the contractor's use of the documents for shop drawings.

8.2.2.1 Agencies with detention facilities also have a responsibility to approve / disapprove the use of documents for purposes other than bidding and construction of the project.

8.2.3 Should the project architect/engineer's contract be terminated for any reason, the Owner retains the use of any documents completed at the time the contract is terminated.

8.2.4 The Owner may use the documents as reference material for subsequent projects on the facility without obtaining the permission of the project architect/engineer. The Owner will not hold the project architect/engineer responsible for claims resulting from the subsequent projects.

9.0 Termination of Architectural / Engineering Services

9.1 In the event of termination of a project for any reason, including lack of funding for the project, the state of Kansas will give the project architect/engineer thirty (30) days notice.

9.2 The project architect/engineer will receive instructions from the DFM planner detailing the completion of contract documents and compensation for services provided.

9.3 All contract documents shall become the property of the State of Kansas.

**END OF CHAPTER 6**

**CHAPTER 7 - BUILDING CODE AND ADAAG REVIEWS****1.0 General Information**

- 1.1 DFM, on behalf of Secretary of Administration, is to develop and adopt standards for inspection and acceptance of projects for the construction of buildings and major repairs and improvements to buildings for state agencies ([K.S.A. 75-3783](#)). The standards developed include a process for this acceptance. This process for acceptance is outlined in this chapter and includes: review and acceptance of code footprints, review and acceptance of construction documents including review for accessibility, review and acceptance of fire alarm and sprinkler shop drawing, code inspections of construction and issuance of Certificate of Occupancy FPDC Form 145.
- 1.2 Kansas State Fire Marshal Office (KSFMO) and the Division of Facilities Management (DFM) have a memorandum of understanding. DFM will act as single point of contact and will coordinate with KSFMO, the reviews and acceptance of code footprints for all construction projects on State property. DFM and KSFMO will both sign code footprints. DFM, acting on behalf of KSFMO, will perform reviews of fire alarm plans and sprinkler plans for all construction projects on State property.
- 1.3 All construction projects will be reviewed by DFM for compliance to the building codes and the Americans with Disabilities Act Accessibility Guidelines (ADAAG). The Uniform Federal Accessibility Standards (UFAS) will be used when applicable.
- 1.4 Effective dates of applicable building codes are available on the DFM website at [http://da.ks.gov/fp/Code/Code\\_ADAAG.htm](http://da.ks.gov/fp/Code/Code_ADAAG.htm) List of Applicable Codes FPDC Form 110. Project architect/engineers that contract with Department of Administration shall follow the applicable codes attached to their contract.
- 1.5 A Request for Review Form FPDC Form 120 is required to be submitted for all items requiring action or review by DFM. This form is available on the DFM website at <http://www.da.ks.gov/fp/manual.htm>. The form is required for building code questions/interpretations, code footprint reviews, construction document reviews, fire alarm and sprinkler shop drawing reviews. The Request for Review form shall have a DFM project number provided. (See chapter 6 for more information on DFM Project Number) Submissions will not be reviewed if the project number is not provided. The DFM project number allows us to file and properly track the project from review through construction and occupancy.
- 1.6 Questions regarding the building code or requests for building code interpretations are to be forwarded to DFM in a written format utilizing the Request for Review FPDC Form 120. All questions and requests for building code interpretations are to be identified with a DFM Project Number (see chapter 6 for more information on DFM Project Number). DFM will issue a written response.
- 1.7 Code footprints are required to be submitted for all new construction, new addition, building renovation/remodeling affecting active or passive life safety systems or change in occupancy of buildings on State property. ([KAR 22-1-7](#)) Is a Code Footprint Required? FPDC Form 105 has been developed to answer when a code footprint is required. This form is available on DFM website (<http://www.da.ks.gov/fp/manual.htm>) under design and construction related forms. This form is only required to be submitted when the applicant feels a code footprint is not required.
- 1.8 If a code footprint has been prepared to address plan of correction items as identified with KSFMO, that code footprint is to be forwarded to the KSFMO as the single point contact for Plan of Correction. Code footprints submitted to DFM for plan of correction will not be reviewed by DFM and will be forwarded to KSFMO for their action.

- 1.9 Code footprints can be submitted at any time during design and documents. These in-progress submittals of code footprints will be reviewed and comments provided. DFM will not provide acceptance of in-progress code footprint submittals, only review comments will be issued. A Request for DFM Review FPDC Form 120 is to accompany all submittals. Documents will not be reviewed if form is not provided. See Section 2.0 in this chapter for procedures.
- 1.10 For projects that are being bid by DFM, a final code footprint must have a Project Acceptance Record FPDC Form 125 signed and issued by DFM to the project architect/engineer and agency prior to bidding. Failure to have a signed accepted Project Acceptance Record when the documents are scheduled for release to bid will prevent the project being released to bid.
- 1.11 For all other projects, final code footprints are required to have a Project Acceptance Record FPDC Form 125 signed and issued by DFM to the project architect/engineer and agency prior to commencement of construction.
- 1.12 The final code footprint can be submitted when the project architect/engineer has determined the Code Footprint is in a final form. (i.e. the submittal can be forwarded prior to completion of construction documents.)
- 1.13 Final Construction Documents shall be submitted to DFM for review for compliance to the accepted code footprint, building codes and Accessibility Laws and Guidelines. ([K.S.A. 31-150](#)) If the Construction Documents vary from the accepted code footprint, revisions to the code footprint and/or construction documents will need to be made prior to releasing the project to bid.
- 1.14 If revisions need to be made to an accepted code footprint, the code footprint shall be resubmitted with a revised date and all revisions shall be identified.
- 1.15 Fire alarm and/or sprinkler shop drawings are required to be submitted to DFM for review and acceptance. See Section 3.0 in this chapter for procedures.
- 1.16 DFM Code Compliance Coordinator, on behalf of Secretary of Administration, has authority to approve occupancy. (KSA 75-1262 and KSA 76-757). Certificate of Occupancy FPDC Form 150 will be issued by DFM prior to occupancy of any portion of a building that has been in construction or has a change in occupancy. See section 4.0 in this chapter for procedures.

## 2.0 Code Footprint Reviews

- 2.1 Each project architect/engineer is responsible to submit a code footprint for review and acceptance by DFM. Code footprints shall be sent to DFM. The code footprint should not be sent to KSFMO. Misdirected and/or incomplete submittals may delay review process.
  - 2.1.1 Due to restrictions on the computer security system, DFM is not able to receive .ZIP files. Please send any review documents to DFM in .DOC / .DOCX, .DWG or .PDF file formats.
- 2.2 Design development submittals must include a design (in-progress “draft”) code footprint submission. The in-progress “draft” review box on the Request for Review FPDC Form 120 must be checked.
- 2.3 The 100% construction documents submittals must include a final code footprint submission. The final code footprint shall be routed at least two weeks prior to 100% construction document submittal. The final review box on the Request for Review PFDC Form 120 must be checked.
- 2.4 The code footprint submittal process is as follows:
  - 2.4.1 Each code footprint submitted must be accompanied by a Request for DFM Review

FPDC Form 120. The form is available on Facilities Planning web site (<http://www.da.ks.gov/fp/manual>).

- 2.4.2 The project architect/engineer is to complete the first page of the Request for DFM Review FPDC Form 120 in its entirety. On the second page of the Request for DFM Review, the project architect/engineer shall complete the Compliance Attestation by identifying each item using an "x" to signify compliance and "NA" for those items that do not apply. Code footprints will not be reviewed if forms are not provided.
- 2.4.3 The code footprint shall be submitted in 11"x17" format and may be multiple pages. The pages are to be numbered x of y. The DFM project number and building number must be part of the title block of the code footprint.
  - 2.4.3.1 The titleblock described at the end of the Construction Document Checklist FPDC Form 223 is required on the code footprints.
- 2.4.4 In-progress code footprint submittals do not require agency signature and can be forwarded electronically to the Code Compliance Coordinator and copied to the Planning Coordinator. The In-progress "draft" review box shall be checked on the Request for Review FPDC Form 120.
- 2.4.5 Signature lines shall be included on the front page for the Agency representative, DFM and KSFM. **The Agency representative is to sign the final code footprint prior to submission to DFM.**
- 2.4.6 The code footprint submittal for final acceptance shall include two (2) copies of the code footprint along with the Request for Review FPDC Form 120. The two (2) copies of the accepted code footprint will be retained by DFM and KSFM for their files. Only electronic copies of the accepted code footprint will be forwarded to the AE and Agency representatives listed on the Request for DFM Review FPDC Form 120. If an agency or AE wants an original signed copy of the code footprint returned to them, The AE shall route additional originals and indicate recipients for the additional originals. DFM will return additional originals as indicated by the project architect/engineer and agency. It shall be the responsibility of the Agency to inform the AE of their agency preference for additional original code footprints. DFM will not monitor agency preferences and DFM will not make additional copies for agency or project architect/engineer.
- 2.4.7 The submission is to be in black and white format only. Color submissions will not be reviewed and a resubmission will be required.
- 2.4.8 Text shall be readable and legible. Project architect/engineer shall review submission for legibility prior to submission to DFM. All graphics shall conform to the standard included at the end of this chapter and as provided on DFM web site.
- 2.4.9 Each facility is to be identified by building number.
- 2.4.10 Existing conditions shall be identified and shall note if the existing condition is non-conforming. All new work shall be clearly identified.
- 2.4.11 All hazards are to be identified on the code footprint. This is to include hazardous materials and their quantities, any hazardous uses, and any special features/locking devices being proposed for egress doors (except for I-3 occupancies where only the condition type need be identified in the code footprint narrative).

- 2.4.12 Alternative materials, design and methods of construction and equipment should be reviewed with DFM prior to the submittal of the code footprint. Each alternative material, design or method of construction is to be identified and justified on the code footprint. See Chapter 1 of the International Building Code for definition of alternative materials, design and methods of construction and equipment.
- 2.4.13 Temporary exiting measures shall be identified. Note: Existing exits cannot be blocked or impaired during construction. If existing exits are blocked or impaired, temporary exiting measures will be required.
- 2.4.14 The KSFMO has determined that construction areas are hazardous and as such are to be separated from occupied portions of existing buildings with one-hour fire-resistive barriers.
- 2.4.15 Identification of active life safety systems shall be listed as “required / not required” and “provided / not provided” or listed as existing non-conforming.
- 2.4.16 In-progress submittals shall be noted as “draft” or “for review only”.
- 2.4.17 Code footprints will be reviewed in the order they are submitted.
- 2.4.18 After review of the “draft” or “for review only” submittal, DFM will issue comments. It is the responsibility of the project architect/engineer to address the comments issued by DFM.
- 2.4.19 Final code footprints shall have the project architect/engineer’s seal affixed to the document.
- 2.5 When the final code footprint is accepted, a Project Acceptance Record FPDC Form 125 will be issued. Electronic copies of the Project Acceptance Record and the accepted code footprint will be forwarded to the project architect/engineer and Agency. The electronic copies will be sent to the contact person(s) identified on the request for review. If additional original code footprints have been forwarded, DFM will return to recipients as indicated by project architect/engineer and agency.

### 3.0 Construction Document Reviews

- 3.1 Construction Documents are to be submitted prior to construction and shall be accompanied by a Request for DFM Review FPDC Form 120 available on our website at <http://da.ks.gov/fp/manual.htm>. Documents will not be reviewed if form is not provided.
- 3.2 Construction documents are to contain adequate information so compliance with applicable codes can be determined. The Construction Documents Checklist FPDC Form 223 outline required information to be provided.
- 3.3 A statement of special inspection shall be provided per applicable building codes. The project architect/engineer may reference the project specifications in lieu of a separate statement.
- 3.4 A Project Acceptance Record FPDC Form 125 will be issued electronically when the Construction Documents are accepted by DFM.
- 3.5 Certificate of Occupancy FPDC Form 150 will not be issued if Construction Documents have not been submitted and accepted by DFM.

**4.0 Fire Alarm and/or Sprinkler Shop Drawings**

- 4.1 Submittals are to be reviewed and approved by the project architect/engineer prior to submittal to DFM. Partial submittals will not be reviewed by DFM. Partial submittals will not be returned or retained by DFM. It is the responsibility of the project architect/engineer to provide a complete submittal for DFM review.
- 4.2 When the complete shop drawing submittal is approved by the project architect/engineer, they will forward one copy of the complete shop drawing submittal to DFM for review and acceptance. The copy of the shop drawings will be retained by DFM.
- 4.3 A Request for DFM Review FPDC Form 120 shall accompany the shop drawings. The form is available on Facilities Planning web site (<http://da.ks.gov/fp/manual.htm>). Shop Drawings will not be reviewed if form is not provided.
- 4.4 A Project Acceptance Record FPDC Form 125 will be issued electronically when the shop drawings are accepted by DFM.
- 4.5 Project architect/engineer is to forward DFM acceptance to contractor.
- 4.6 Installation of the systems shall not begin until DFM Project Acceptance Record has been issued.
- 4.7 A complete fire alarm submittal shall include all necessary drawings, calculations and product information, and shall include as a minimum:
- Floor plans the same scale as the architectural drawings.
  - Identification of Edition of NFPA 72 used to design the system.
  - Indicate the use of all rooms including requirements to meet ADAAG
  - Locations of all alarm initiating and notification appliances.
  - Candela rating of all strobes.
  - Location of the FACP and any annunciation panels.
  - Battery Calculations
  - Conductor types, sizes and voltage drop calculations.
  - Model numbers and listing information for equipment and devices.
  - Interlocks with other systems (i.e. fire alarms, HVAC systems, security systems, etc.)
  - Clearly indicate any non-standard conditions, such as, soffits, beam pockets, sloped ceilings, ceilings over 15 ft or any other condition which may alter the standard spacing of initiating or notification appliances.
- 4.8 A complete sprinkler submittal shall include all necessary drawings, calculations and product information, and shall include as a minimum:
- Floor plans the same scale as the architectural drawings.
  - Identification of Edition of NFPA 13 used to design the system.
  - Indicate the use of all rooms
  - Hydraulic calculations
  - Provide the requirements designated in the Plans and Calculations Chapter of NFPA 13 (Chapter 14 in the 2002 edition, Chapter 8 in the 1999 edition) as they pertain to the specific design.

**5.0 Certificate of Occupancy and Required DFM Code Inspections**

- 5.1 A Certificate of Occupancy FPDC Form 150 will be issued electronically when all applicable items have been verified acceptable by DFM as outlined on the Occupancy Checklist FPDC Form 145 and per this section. This checklist is available on DFM website <http://da.ks.gov/fp/manual.htm>. A Certificate of Occupancy will not be issued to a project that does not have a DFM project number.
- 5.2 It is the responsibility of the agency and/or the project architect/engineer to verify the contractor is contacting DFM and schedule inspections for DFM's determination of occupancy. [[K.S.A. 75-3783](#)]
- 5.3 DFM performs required code inspections during construction for the Secretary of Administration and on behalf of the KSFMO. These inspections are required for Certificate of Occupancy FPDC Form 150.
- 5.4 DFM inspector shall be scheduled for the following required code inspections (if component is included in the project):
  - 5.4.1 Footings and Foundations
  - 5.4.2 Underfloor / Underslab
  - 5.4.3 MEP Underground (not associated with underfloor / underslab)
  - 5.4.4 Framing
  - 5.4.5 In-wall
  - 5.4.6 Fire-resistive assemblies and fire-resistant penetrations
  - 5.4.7 Above ceiling
  - 5.4.8 Fire Alarm
  - 5.4.9 Sprinkler and standpipe
  - 5.4.10 Emergency lighting
  - 5.4.11 Back-up Power Sources
  - 5.4.12 Fire Pump
  - 5.4.13 Elevator (witness the load testing and verify ADAAG)
  - 5.4.14 Roof inspections, including tear-off, insulation, membrane placement, flashing
  - 5.4.15 Emergency Power
  - 5.4.16 Smoke Control Systems\
  - 5.4.17 Pressure testing of Piping
  - 5.4.18 Locking systems
  - 5.4.19 Final inspections (including exit path and ADAAG verification.)
- 5.5 A code inspection will not be provided if the construction project does not have a DFM Project Number. A code inspection cannot be scheduled until the construction documents have been reviewed and accepted by DFM. A Code Inspection cannot be scheduled for a sprinkler system or fire alarm system until the sprinkler and/or fire alarm shop drawings have been reviewed and accepted by DFM.
- 5.6 The required code inspections listed above shall be coordinated with DFM inspector via individual cell telephones. Telephone contact is to be a minimum of 3 working days prior to anticipated inspection. DFM inspectors do not have continual access to e-mail and therefore, e-mail contact does not constitute timely contact. Inspection confirmation may occur via e-mail.
- 5.7 If the DFM inspector has available time within his work schedule, the inspection may not be subject to the minimum 3 working days.
- 5.8 It shall be the responsibility of the project architect/engineer or agency to assure the minimum 3 working day notice is being maintained.



- 5.9 DFM inspectors can defer code inspections as follows:
  - 5.9.1 DFM inspector to review installation and set standard by which installation will be inspected. First inspection of a component is to be completed by DFM inspector.
  - 5.9.2 Agency, Contractor or Project architect/engineer is to contact DFM inspector for all required code inspections.
  - 5.9.3 Inspector will indicate availability to make an inspection. Inspector will determine if he, another DFM employee, project architect/engineer or agency can perform inspection. Inspector will inform Contractor and agency representative regarding who will be performing inspection
  - 5.9.4 If agency or project architect/engineer personnel perform inspection, the installation will be documented with pictures. Personnel performing inspection shall forward pictures to DFM Code Compliance Coordinator along with a completed Deferred Inspection Record FPDC Form 140.
- 5.10 DFM representative will not defer and shall be present at the following code required inspections: fire alarm system, sprinkler system, fire pump, standpipes, back-up power sources, emergency lighting, ADAAG and Final Inspection.
- 5.11 DFM inspector will complete an Inspection Record FPDC 135 Form for all completed inspections. An electronic copy of this form will be forwarded to the Agency. It is the responsibility of the Agency to forward to the project architect/engineer and Contractor.
- 5.12 A Certificate of Occupancy FPDC Form 150 will be issued by DFM Code Compliance Coordinator or designee when DFM personnel have determined life safety systems are compliant and as follows:
  - 5.12.1 Occupying a portion of a project:
    - 5.12.1.1 Floor plan is submitted by project architect/engineer to DFM Code Compliance Coordinator indicating area(s) to be occupied, the exiting (permanent or temporary from occupied areas), and indication of separation of occupied areas from construction areas. The rooms are to be identified by room numbers or by floor or area.
    - 5.12.1.2 If the project utilizes state construction contracts, the Certificate Substantial Completion FPDC Form 570 will need to be issued and signed by the Contractor. If the project does not utilize state contracts, the Contractor shall agree in writing to complete and correct all work for the project in accordance with contract documents within a time specified after the date of such occupancy.
  - 5.12.2 Occupying a project that is substantially complete (Contractor has a list of items to complete):
    - 5.12.2.1 If the project utilizes state construction contracts, the Certificate Substantial Completion FPDC Form 570 (reference Chapter 16) will need to be issued and signed by the Contractor. If the project does not utilize state contracts, the Contractor shall agree in writing to complete and correct all work for the project in accordance with contract documents within a time specified after the date of such occupancy.

5.12.3 Occupying a project that is satisfactorily complete (Contractor has completed all contract document items):

5.12.3.1 The project architect/engineer and Agency recommends by e-mail to the Code Compliance Coordinator the project is satisfactorily complete and the AE routes the Certificate of Project Completion FPDC form 575 (reference Chapter 16).

## 6.0 Accessibility Laws and Guidelines

- 6.1 All buildings on state owned property are subject to federal [28 CFR Part 35] and state accessibility laws, [K.S.A. 58-1301](#) et seq, which mirror title II of the Americans with Disabilities Act (ADA).
- 6.2 Americans with Disabilities Act Accessibility Guidelines (ADAAG), 1991 governs all state building construction and renovation projects. When an agency receives federal funds for any of its programs including construction/renovation of the project, the use of the Uniform Federal Accessibility Standards (UFAS) also governs. When this occurs, the most stringent requirement will apply to the project.
- 6.3 The project architect/engineer is responsible for compliance with ADAAG on all new construction, additions and renovation projects. DFM and the state ADA coordinator will review all projects for compliance with ADAAG and title II during all phases of a project. [\[K.S.A. 58-1304\]](#)
- 6.4 Prior to the approval of design development, the project architect/engineer shall analyze renovation projects for accessibility. When alterations to a primary function area are being made, the project architect/engineer is responsible to identify what path of travel requirements are triggered. Path of Travel FPDC Form 155 is available on the DFM website at <http://da.ks.gov/fp/manual.htm>.
- 6.5 Failure to provide complaint accessibility items in documents in all new construction, additions and renovation projects will result in denial of release to bidders or permit to build.
- 6.6 Any ADAAG, UFAS or Title II issues, including program accessibility, will be resolved by the state ADA coordinator.
- 6.7 The following is a list of accessibility elements commonly omitted on projects. This list is provided for the benefit of the project architect/engineer. This list is not all inclusive and does not relieve the project architect/engineer from the burden of complying with ADAAG.
  - 6.7.1 Multistory governmental facilities are required to have at least one passenger elevator. Single story buildings with a code compliant mezzanine are not considered multistory facilities.
  - 6.7.2 Path of travel requirements are triggered when alterations are being made to a primary function area of a facility, and up to 20% of the construction budget is required to make alterations to meet path of travel requirements.
  - 6.7.3 Accessibility improvements that are required to make a facility accessible to individuals with disabilities shall be provided in the base bid contract, except when the project is limited solely to accessibility improvements.
  - 6.7.4 Dispersion of accessible seating in assembly areas with > 50 occupants.
  - 6.7.5 Parking and drop off areas.

- 6.7.6 Exterior accessible routes.
- 6.7.7 Required number of accessible entrances and exits.
- 6.7.8 Door opening forces.
- 6.7.9 Control mechanisms, operable by the public, such as automatic door openers, elevator hall call buttons, door handles, light switches, and etc. should be no higher than 38".
- 6.7.10 Reception counters.
- 6.7.11 Areas of rescue assistance requirements.
- 6.7.12 Fire alarm requirements.

**7.0 Graphic Standards for Code Footprints**

- 7.1 The project architect/engineer shall use the graphic standard provided on the DFM website at [http://da.ks.gov/fp/files/Code\\_Compliance\\_Symbols.pdf](http://da.ks.gov/fp/files/Code_Compliance_Symbols.pdf).
- 7.2 The graphic standard legend contains symbols for the most common items shown on the code footprint.
- 7.3 If additional graphic symbols are needed to adequately present the building conditions on the code footprint, the project architect/engineer may add symbols to this list. Any additions must be shown on the symbol legend on the code footprint.

**END OF CHAPTER 7**

**CHAPTER 8 - UNRESTRICTED CAPITAL IMPROVEMENT PROJECT REQUIREMENTS**

**1.0 General Information**

- 1.1 This section is applicable to architectural and engineering projects whose total project costs exceed the statutory limits of \$750,000 for architectural projects and \$500,000 for engineering projects. ([K.S.A. 75-1253](#))

**2.0 DFM Planning Section**

- 2.1 Each project architect/engineer in fulfilling their contractual obligations to the Secretary of Administration shall coordinate with a DFM planner.
- 2.2 On extended-service projects the DFM planner shall be part of the project team and shall coordinate, expedite and facilitate the orderly progress of the project through design, documents, bidding, construction and project close-out.
- 2.3 On limited-service projects the agency project manager shall coordinate, expedite and facilitate the orderly progress of the project through design, documents, bidding, and construction administration.
- 2.4 On negotiated projects, the agency and DFM will negotiate the role of the DFM planner.
- 2.5 The DFM planner shall be notified of all proposed program changes on all unrestricted projects and shall convene the negotiating committee regarding any change in program or scope of work.

**3.0 Project Team**

- 3.1 Members of the project team shall be identified by the agency prior to the project kick-off meeting.
- 3.2 A list of the project team shall be included in the kick-off meeting minutes and all members shall be copied on all project correspondence.
- 3.3 The project team shall be kept informed of the progress of the work and shall be invited to all project meetings. All project team members shall share the responsibility for maintaining effective communications.

**4.0 Critical Information**

- 4.1 The "Is a Code Footprint Required?" FPDC Form 105 should be completed and submitted to DFM by the project architect/engineer at the beginning of each project.
- 4.2 The Request for Review FPDC Form 120 is required with each design, code compliance and document review submittal.

**5.0 Meeting Minutes**

- 5.1 The project architect/engineer shall be responsible for minutes of each project meeting throughout all phases of a project and shall promptly forward typed copies of the minutes to the project team for review and approval.
- 5.2 The project architect/engineer may delegate the taking of minutes to the contractor during the construction phase of the project with approval of the project team. Such delegation shall not relieve the project architect/engineer from ensuring the minutes provide a complete and accurate account of all meetings.

6.0 Review Meetings and Submittal Requirements

- 6.1 Purpose of the review meetings is to enhance the understanding, development and explanation of the project to the project team and eventually the bidders and constructors.
- 6.2 Review meetings shall be held a minimum of two weeks following receipt of the review documents. Circumstances may be such that review time will need to be extended.
  - 6.2.1 On extended-service projects for each scheduled review meeting, the project architect/engineer shall submit a maximum of five copies of review documents or the quantity agreed to in the fee negotiations on **bond** not vellum.
  - 6.2.2 DFM will be given 2 sets, the state agency one set and the user agency the remaining number of sets.
  - 6.2.3 On limited service or negotiated service projects, the firm should submit the number of review documents negotiated in their contract.
  - 6.2.4 All costs for review sets (including re-submittals) and any miscellaneous printing such as check prints during the preparation of design and documents shall be the responsibility of the project architect or project engineer.
- 6.3 The project architect/engineer shall make any revisions deemed necessary by the state agency and DFM. Copies shall be resubmitted in the manner previously prescribed until the agency and DFM are satisfied the submittal has been completed with respect to the negotiated scope of work.
- 6.4 The project architect/engineer shall proceed with the next phase of the project when directed to do so by the agency and DFM.

7.0 Compensation for Architectural/Engineering Services

- 7.1 Payments of fees to the project architect's/engineer's will be made according to the following schedule, unless otherwise negotiated and incorporated into the firm's contract.
  - 7.1.1 **Schematic Design** - 15% of the total fee will be payable upon approval of the concept development and schematic design phases. If these two phases are separated, then a fee of 7½% is due upon approval of either the concept development phase or the schematic phase.
  - 7.1.2 **Design Development** - 20% of the total fee will be payable upon approval of the design development portion of the preliminary design phase.
  - 7.1.3 **Construction Documents** – 40% of the total fee will be payable upon approval of the construction documents. If the construction document phase is separated: then 13% % of the total fee will be payable upon approval of the first review (30% completion); 13% of the total fee will be payable upon approval of the second review (60% completion); and 14% of the total fee will be payable upon final acceptance of the construction documents.
  - 7.1.4 **Bidding** – 2½% of the total fee will be payable after a successful bid and the Advice of Award.
  - 7.1.5 **Construction** – 20 % of the total fee will be payable based upon the percentage of completion approved on the construction contractors monthly pay applications.

- 7.1.6 **Close-Out** – 2½ % of the total fee will be payable to the project architect upon final completion of the project and approval of the as-built drawings.
- 7.2 When requesting payment, the project architect/engineer should submit an invoice with the information noted in the Sample A/E Invoice available at [www.da.ks.gov/fp/manual](http://www.da.ks.gov/fp/manual).
  - 7.2.1 On extended-service, limited-service or negotiated unrestricted projects, the firm should first submit their invoice to the DFM planner.
  - 7.2.2 When the firm's final invoice is submitted to DFM, the DFM planner will confirm that the contractor's final paperwork has been processed and the as-builts are received and approved.

**END OF CHAPTER 8**

**CHAPTER 9 - RESTRICTED CAPITAL IMPROVEMENT PROJECT REQUIREMENTS****1.0 General Information**

- 1.1 The purpose of restricted capital improvement projects is to provide state agencies with a means of assigning projects of smaller scope and budgets without advertising for each project. By statute each restricted architectural project's construction cost cannot exceed \$750,000 and each restricted engineering project's construction cost cannot exceed \$500,000. ([K.S.A. 75-1253](#)) A capital improvement project shall not be arbitrarily subdivided to create restricted projects that allows the use of an on-call contract or subdivided to specifically allow the concurrent multiple uses of an on-call contract.
- 1.2 Architectural and/or engineering services on restricted projects can be provided by an agency project architect, agency project engineer, a DFM design project architect, a DFM design project engineer, or an on-call project architect or on-call project engineer.
- 1.3 Advertisements for on-call contracts shall identify the specific professional services required for the contract. Selection of a design professional will be based on the specific services advertised. No additional or supplemental services, except as identified in subparagraph 2.1.1 below, will be allowed to be added to the contract at the time project services are provided. Reference subparagraph 2.1.2.1 below.
- 1.4 When requesting payment, the on-call project architect/engineer shall submit to the state agency an invoice for a lump sum fee or multiple invoices over the duration of the project as negotiated with the agency.
- 1.5 DFM will submit an invoice to each agency for services completed by the DFM design section.

**2.0 On-Call Contract Guidelines**

- 2.1 Architectural and/or engineering service on-call contracts may be written for architects, engineers, and landscape architects that are governed by the Kansas Board of Technical Professions.
  - 2.1.1 Architectural and mechanical, electrical, plumbing (MEP) engineering on-call contracts can provide supplemental services required for the project within the limitations below.
  - 2.1.2 Landscape architects, structural, civil, fire protection, and similar engineer on-call contracts can provide only services of their specific discipline.
    - 2.1.2.1 Those projects that require multiple disciplines must use an architect or an MEP engineer on-call contract.
- 2.2 Non-architectural and/or engineering service on-call contracts may be written for interior designers, restoration designers, mapping consultants, environmental designers, and others not governed by the Kansas Board of Technical Professions.
  - 2.2.1 The on-call contract will be written for the non-architectural and/or engineering services advertised. No architectural and/or engineering services may be provided by an architect or engineer member of the firm under this contract and no consultants may be added to the contract.

- 2.3 On-call architectural design services.
    - 2.3.1 An on-call contract shall be written only to an architectural firm as the prime contractor, either to provide stand-alone architectural services or with consultants to provide integrated architectural and engineering services.
    - 2.3.2 Only an architectural on-call contract shall be used for a project comprised of 50% or more of architectural services, regardless of the construction cost up to the \$750,000 construction cost limit.
    - 2.3.3 An architectural on-call contract may be used for a project comprised of 50% or more of engineering services with an engineering consultant, and under the \$500,000 construction cost limit.
  - 2.4 On-call engineering design services.
    - 2.4.1 An on-call contract shall be written to an engineering firm as the prime contractor to provide stand-alone engineering services.
    - 2.4.2 Projects comprised of engineering design services may not increase the construction cost limit above \$500,000 by adding an architectural firm as a consultant.
    - 2.4.3 An MEP engineering on-call contract may add an architectural or non-MEP engineering consultant(s) to provide minor architectural or non-MEP engineering design services.
    - 2.4.4 A civil engineering on-call contract may add an architectural consultant to provide minor architectural design services.
    - 2.4.5 All non-MEP engineering on-call contracts are limited to their discipline design category.
    - 2.4.6 Architectural design services restricted or prohibited by the Kansas Board of Technical Professions to be performed by engineers will not be performed using a stand-alone engineer on-call contract.
  - 2.5 State-wide on-call contracts are available by request through DFM for use by agencies that have infrequent need for such services.
  - 2.6 Reference Chapter 4 for the procurement process for on-call contracts.
    - 2.6.1 Project Number/Data Request FPDC Form 935 shall be used to request an amendment to an on-call contract for a specific project.
  - 2.7 Non-compliant use of an on-call contract may result in a project delay, to include making corrections or not receiving approval to release the project for bidding.
  - 2.8 On-call contracts will not be written for ancillary services such as surveying, geo-technical services, and various testing services incidental to the project design services. DFM maintains a pool of firms selected to provide ancillary services. Reference Chapter 6.
- 3.0 Critical Information
- 3.1 The “Is a Code Footprint Required?” FPDC Form 105 should be completed and submitted to DFM by the project architect/engineer at the beginning of each project.



- 3.2 The Request for Review FPDC Form 120 is required with each design, code compliance and document review submittal.

4.0 Meeting Minutes

- 4.1 The project architect/engineer shall take minutes of each project meeting throughout all phases of a project and promptly forward typed copies of the minutes to the project team.

5.0 Submittal Requirements

- 5.1 All costs for review sets, including re-submittals, shall be the responsibility of the project architect/engineer and shall be paid by the project architect/engineer out of the negotiated fee.
- 5.2 The project architect/engineer shall make any revisions and re-submittals deemed necessary by the project team within the negotiated scope of work.

**END OF CHAPTER 9**

**CHAPTER 10 – FACILITY CONSERVATION IMPROVEMENT PROGRAM (FCIP)**

**1.0 Program Definition**

- 1.1 Renovation projects for state facilities under the [Facility Conservation Improvement Program \(FCIP\)](http://www.da.ks.gov/fp/) are subject to building code and accessibility reviews for compliance by DFM. Effective dates of building codes are available on DFM web site (<http://www.da.ks.gov/fp/>).

**2.0 Building Code Compliance**

- 2.1 The nature of the each renovation shall be discussed with DFM, and a determination of requirements will be made by DFM in consultation with KSFMO. DFM works in conjunction with the KSFMO regarding the Kansas Fire Prevention Code. Questions and requests for code interpretations should be given to DFM in written format, and all responses will be returned in written format.
- 2.2 Code footprints shall be required for all building alterations and modifications that effect life safety systems and egress. When a scope of work in graphic and written form is required, the requirement for a code footprint will be determined and shall be sent to DFM for review for compliance with the Kansas Fire Prevention Code.
- 2.3 Required code footprints can be submitted at any design phase, and a final code footprint shall be submitted at 100% construction document phase. Prior to commencement of construction a Project Acceptance Record shall be issued by DFM.
- 2.4 Code footprints and the procedure for submitting code footprints shall conform to the requirements in Chapter 7.

**3.0 Accessibility Compliance**

- 3.1 All state-owned buildings are subject to federal law Title II of the American with Disabilities Act (ADA) and to Kansas statute K.S.A. 58-1304, which mirrors Title II of the ADA. Any questions the project architect/engineer has regarding accessibility compliance should be addressed to DFM code compliance officer.

**END OF CHAPTER 10**

## CHAPTER 11 - DFM SERVICES and FEES

### 1.0 General Information ([K.S.A. 75-1269](#))

- 1.1 The planning section provides three levels of service to state agencies for unrestricted and restricted capital improvement projects, limited, extended and code services. Services from the extended service list can be negotiated and added to limited services. Any other requested services can be negotiated from the list provided in Section 4.0.
- 1.2 The design section provides a variety of architectural and/or engineering services for restricted capital improvement projects.

### 2.0 Planning Services for Capital Improvement Projects:

Planning Services Provided	Extended (Full)	Limited	Code (Only)
Assist State Building Advisory Commission	X	X	
Coordinate Negotiating Committee	X	X	
Retrieve existing documents from DFM archives	X		
Familiarize with project by visiting construction site or existing facility	X		
Attend initial meeting with project team	X		
Select ancillary firms and coordinate ancillary service contracts	X	X	
Review Concept Design	X		
Review Schematic Design	X		
Attend Schematic review at the site	X		
Review Design Development	X		
Attend Design Development review at the site	X		
Review 30% Construction Documents	X		
Attend 30% CD review at DFM	X		
Review 60% Construction Documents	X		
Attend 60% CD review at DFM	X		
Review construction documents for code compliance	X	X	X
Approve Code Footprint per Chapter 7	X	X	X
Provide ADAAG review per Chapter 7	X	X	X
Review and approve final construction documents	X	X	
Attend Final construction document review at DFM	X		
Coordinate bidding phase	X	X	
Attend pre-bid conference	X		
Coordinate printing/distribution of addenda	X	X	
Attend bid opening	X		
Prepare advice of award for the agency	X	X	
Issue notice to proceed	X	X	
Attend preconstruction meeting	X		
Review A/E approved shop drawings for sprinklers and fire alarms	X	X	X
Observe construction periodically	X		
Attend construction meetings periodically	X		
Perform code inspections per Chapter 7	X	X	X
Perform ADAAG inspections per Chapter 7	X	X	X
Assist in resolving construction problems	X		
Review agency change orders	X	X	
Issue the Certificate of Occupancy per Chapter 7	X	X	X
Attend final punch list walk-through	X		
Approve as-built drawings for DFM archives	X	X	
Approve Final Completion Documentation	X	X	
Attend warranty inspection	X		

- 2.1 Fees for the planning section's extended, limited and code services for all projects are calculated by multiplying the construction contract amount by the multiplier from each of the four categories listed below (minimum fee is \$750).

2.1.1 Level (of service):

2.1.1.1	Extended (full)	= 1.0
2.1.1.2	Limited	= 0.6
2.1.1.3	Code	= 0.3

2.1.2 Cost (of construction):

2.1.2.1	Under \$750,000	= 2.50
2.1.2.2	\$750,000 to \$2,499,999	= 1.75
2.1.2.3	\$2,500,000 to \$7,499,999	= 1.50
2.1.2.4	\$7,500,000 to \$14,499,999	= 1.25
2.1.2.5	\$15,000,000 and over	= 1.00

2.1.3 Type (of project):

2.1.3.1	New	= 1.0
2.1.3.2	Combination	= 1.2
2.1.3.3	Remodel	= 1.4

New classification includes re-roofing, sitework (parking, sidewalks, etc.), window and door replacement, abatement, masonry cleaning, equipment replacement, and similar repair and maintenance projects.

Combination classification includes projects that are comprised of more than ten percent (10%) of either New or Remodel work.

2.1.4 Complexity (of project):

2.1.4.1	Utilitarian	= 1.0
2.1.4.2	Conventional	= 1.1
2.1.4.3	Moderately Complex	= 1.2
2.1.4.4	Comparatively Complex	= 1.3
2.1.4.5	Complex	= 1.4

2.1.5 Formula:

Construction cost (contract amount) X Cost multiplier X Complexity multiplier X Type multiplier X Level multiplier / 100 = Facilities Planning Fee

2.1.6 Change Orders:

Additional DFM fees for construction change orders are calculated by multiplying the project multipliers used from above and the amount of the change order. (Minimum charge is \$25.00).

3.0 Design Services for Restricted Capital Improvement Projects

- 3.1 All requests for services must be made in writing and include a scope of work, project budget and construction schedule.
- 3.2 Services for restricted capital improvement projects include complete design and construction services including warranty inspections. The Planning Limited Services identified in paragraph 2.0 above, are in addition to the Design Services
- 3.3 Fees for design services are negotiated on a project specific basis, using estimated time based upon time expenditures in the following areas of work.

- 3.3.1 Initial investigation and administrative time (fee negotiations, archive search, scope review, etc)
    - 3.3.2 Plans and Specifications.
    - 3.3.3 Design Travel.
    - 3.3.4 Design Site.
    - 3.3.5 Construction Administration Office.
    - 3.3.6 Construction Administration Travel.
    - 3.3.7 Construction Administration Site.
    - 3.3.8 Warranty Inspections
  - 3.4 Costs for travel expenses and miscellaneous direct costs expenses will be estimated and included in the total fee amount for design services.
  - 3.5 Fees for such services noted above are can be calculated in one of the methods listed below:
    - 3.3.9 Lump sum
    - 3.3.10 Hourly not-to-exceed
    - 3.3.11 Percentage of actual construction costs.
  - 3.6 Design fees will be proposed via a letter from the design staff to the agency verifying the scope of work, a tentative project schedule along with the proposed fee.
  - 3.7 When an agreement is reached on proposed fees, both the state agency and the design section representative will sign the proposal.
  - 3.8 If, while working on a project, a service is needed on that project that the design section is not able to provide, DFM will negotiate with a firm on-call to provide that service and will pass that fee along to the agency along with the design section's fee.
- 4.0 Additional Services
- 4.1 Additional services are available from either the planning or design sections. These services include but are not limited to:

Programming	Building code evaluation	Energy conservation
Like-facilities inspection	ADAAG evaluation	Data rooms
Facility evaluations	Procurement assistance	Back-up power
Cost estimates	Regulatory reviews	Life-safety systems
Project justification	Building environmental evaluation	Security Systems
Troubleshooting	Project management	Travel
  - 4.2 To request these services from DFM, complete and submit an Additional Services Request Form FPDC Form 905 found at <http://da.ks.gov/fp/manual.htm#PlanningForms>.
  - 4.3 Fees for such services noted above are negotiated on an individual project basis, calculated using one of the methods listed below:
    - 4.3.1 Lump sum
    - 4.3.2 Hourly
    - 4.3.3 Percentage of actual construction costs.

**5.0 DFM Hourly Rates**

<u>Position</u>	<u>FY09</u>	<u>FY10</u>	<u>FY11</u>
Administration	\$ 110.00	\$ 125.00	\$ 130.00
Planning			
Architect	\$ 95.00	\$ 100.00	\$ 105.00
Engineer	\$ 105.00	\$ 115.00	\$ 120.00
Design			
Architect	\$ 95.00	\$ 100.00	\$ 105.00
Engineer	\$ 105.00	\$ 115.00	\$ 120.00
Designer	\$ 75.00	\$ 80.00	\$ 85.00
Compliance			
Architect	\$ 95.00	\$ 100.00	\$ 105.00
Engineer	\$ 105.00	\$ 115.00	\$ 120.00
Inspector	\$ 65.00	\$ 70.00	\$ 75.00
Support	\$ 45.00	\$ 50.00	\$ 50.00

**6.0 Payment of Planning and Design Fees**

- 6.1 Projects < \$5,000,000 will be billed the total amount of service fee after the project bids.
- 6.2 Projects > \$5,000,000 may be billed as follows:
  - 6.2.1 The first half of a service fee billed after the project bids.
  - 6.2.2 The second half of a service fee billed mid-way through scheduled construction.
- 6.3 Change order fees will be billed the month following execution of the change order.
- 6.4 If a project is cancelled before the bid phase, the agency will be billed in proportion to the amount of work completed by the project architect/engineer.
- 6.5 If a project is cancelled after the bid phase, 80% of the full DFM fee will be billed to the agency.

**END OF CHAPTER 11**

## CHAPTER 12 – DESIGN

### 1.0 General Information

1.1 The policies and procedures contained in this section are appropriate for most capital improvement projects designed by a project architect/engineer. The project architect/engineer shall comply with all policies and procedures consistent with the scope of services for the project as negotiated.

1.2 The following chronological outline is for the project architect/engineer to follow during the design phase of most capital improvement project. Not every item will apply to every capital improvement project and should be negotiated with the negotiating committee on unrestricted projects and with the agency on restricted projects.

- ☐ Review project program to verify construction budget and program requirements. Notify the project team when the estimated construction cost of the program requirements may exceed the agency's construction budget. When the project architect's or project engineer's construction estimate exceeds the agency's programmed construction budget approved at the initial fee negotiation, it is the responsibility of the agency to assist the firm in identifying options and means (including a decrease in scope, material selection, and/or alternates, etc.) to bring the firm's estimate within the programmed budget.
- ☐ Identify all proposed consultants, additional consultants and/or changed consultants for the state agency's and negotiating committee's approval.
- ☐ Attend all project meetings (including the Initial meeting) when scheduled by the project team.
- ☐ Ascertain pertinent information to aid owner/state agency and DFM planner in contracting for ancillary services such as the site survey, utility information and geotechnical investigation through DFM.
- ☐ Prior to the first review, establish schedule for the completion of preliminary design, construction documents and construction that is acceptable to the project team. Dates for all significant reviews should be included.
- ☐ Review and analyze all code requirements, standards and laws listed in the project architect's/engineer's contract which are applicable to the project. Develop a code footprint and provide for review and acceptance per chapter 7.
- ☐ During the design and prior to the preparation of contract documents, the project team, will determine if plans and specifications will be prepared and a single construction contract let for the project as a whole or **multiple construction contracts** independently let for various other phases of the project.
- ☐ Develop concepts and preliminary cost estimate for review, distribute documents and notify the agency to coordinate and schedule a review meeting with the project team.
- ☐ Prepare schematics for review, distribute documents and notify the agency to coordinate and schedule a review meeting with the project team.
- ☐ After approval of schematics, confirm the target date for design development submittal.
- ☐ Prepare design development documents for review, distribute documents and notify the agency to coordinate and schedule a review meeting with the project team.

**2.0 Concept Design**

- 2.1 The project architect/engineer shall involve all necessary consultants and develop at least three alternative solutions to the design of the capital improvement project. The alternative solutions shall (when applicable) be within the structure of the agency's program and shall address but not be limited to:
  - 2.1.1 Approach to code compliance for life safety issues, per Chapter 7.
  - 2.1.2 Accessibility compliance, per Chapter 7.
  - 2.1.3 Site limitations, including utilities.
  - 2.1.4 Building location on site.
  - 2.1.5 Vehicular and pedestrian circulation.
  - 2.1.6 Number of floors.
  - 2.1.7 Arrangement of programmed spaces
  - 2.1.8 Itemized inventory of programmed space, indicating surplus or deficiency.
- 2.2 Concept design submittal shall include the items listed below and shall follow the submittal and review procedures.
  - 2.2.1 Compliance with applicable codes, standards and laws, per Chapter 7.
  - 2.2.2 Site plans, which may be sketched.
  - 2.2.3 Floor plans, which may be sketched but must include all programmed spaces.
  - 2.2.4 Elevations, which may be sketched and need not show all sides of the building.
  - 2.2.5 Written description of proposed mechanical and HVAC systems, principal components and special functional requirements.
    - 2.2.5.1 Include concepts and studies of systems if required by the program or fee negotiations.
    - 2.2.5.2 Include information indicating how Energy Code Compliance will be met (Section 5.0).
  - 2.2.6 Cost estimate of each alternative approach.
  - 2.2.7 LEED Plan, if applicable.
  - 2.2.8 Special considerations.

**3.0 Schematic Design**

- 3.1 The schematic design submittal shall include the items listed below and shall follow the submittal and review procedures.



- 3.1.1 Code footprint per Chapter 7 and compliance with all other applicable codes, standards and laws, including accessibility.
- 3.1.2 Site plan showing the location of the building on the site, illustrating the practical use of the natural topography and indicating existing utility locations, service routes, drives, parking, pedestrian trafficways and expansion possibilities if required by the program.
- 3.1.3 Floor plans showing room arrangement, designation, size and changes in floor elevation.
- 3.1.4 Elevation sketches of the exterior indicating the general architectural character of the building.
- 3.1.5 As a minimum, single-line drawings showing mechanical, electrical and plumbing equipment locations, preliminary ductwork and proposed piping runs, routing of major utilities, i.e. sewer and water, and all other engineering elements required for coordination.
- 3.1.6 Compliance with applicable federal regulations due to a federal agency's involvement in the project.
- 3.1.7 Written statement giving the total gross area of the building and estimate of construction costs.
- 3.1.8 Special considerations

#### 4.0 Design Development

- 4.1 The design development submittal shall include the items listed below and shall follow the submittal and review procedures. This submittal should demonstrate a complete understanding of the design requirements to the Owner and should identify items of particular interest to the Owner. Upon the approval of the design development submittal, a design freeze will occur. No significant changes will be made to the approved plans, unless approved by the negotiating committee.
  - 4.1.1 The Construction Document Checklist FPDC Form 223 located in the Appendix is to be used throughout the entire design and construction document phases of the project. It is intended to guide the design team to provide a complete set of construction documents.
  - 4.1.2 Code footprint per Chapter 7 and compliance with all other applicable codes, standards and laws, including accessibility.
  - 4.1.3 Site plan showing the location of the building on the site, illustrating the practical use of the natural topography, expansion possibilities if required by the program, utility locations and potential connections, and vehicle and pedestrian circulation including but not limited to streets, service drives, parking and sidewalks.
  - 4.1.4 Knowledge and indication of problems of rock excavation or controlled backfill.
  - 4.1.5 Floor plans showing room arrangement, overall dimensions of the building(s) and spaces room arrangement, door swings, casework, special equipment and features, furniture arrangement, designation, size and fixed equipment layout.
  - 4.1.6 Elevations showing all exterior wall surfaces.

- 4.1.7 Building sections including longitudinal and transverse sections showing major structural components.
- 4.1.8 Wall sections showing typical and special wall construction.
- 4.1.9 Special interior wall sections
- 4.1.10 Preliminary finish schedule.
- 4.1.11 Structural concept showing the location, type and tentative size of structural members.
- 4.1.12 Mechanical plans showing mechanical room layouts, locations of major equipment and preliminary two-line ductwork layouts. Mechanical room layouts must accommodate more than one manufacturer. Provide graphical indication of code required maintenance/access spaces.
- 4.1.13 Update the written description provided with the concept design to reflect any changes in the systems/equipment or approach to the design, including energy code compliance.
- 4.1.14 Provide a written description of the HVAC control systems with a general outline of function and sequence of operation.
- 4.1.15 Plumbing concept showing pipe chases and roof drainage system. Plumbing designs for laboratories or other special facilities, materials, and designs requiring pumping shall also be included.
- 4.1.16 Electrical concept showing the power source, service to the building, panel locations, types of fixtures, and the foot candle levels. Also included shall be primary and secondary voltages to be used and design criteria for unusual or special electrical requirements. Provide graphical indication of code required maintenance/access spaces.
- 4.1.17 Fire Alarm concept showing panel location(s) and a description of the system. Project architect/engineer to review minimum design requirements to be indicated on construction documents.
- 4.1.18 Fire Suppression concept showing the service entry including back flow preventor, the main drain/inspector test station and a description of the system. Project architect/engineer to review minimum design requirements to be indicated on construction documents.
- 4.1.19 Specifications outline shall include a brief yet concise description of all building systems including methods, materials and finishes. All building components shall be outlined in sufficient detail to afford judgment discussions concerning quality and performance. Include material cut sheets as required to convey a complete understanding of the materials used.
- 4.1.20 Compliance with applicable federal regulations due to a federal agency's involvement in the project.
- 4.1.21 Updated written statement giving the total gross area of the building and an estimate of all construction costs.
- 4.1.22 Rendering as described below or as otherwise negotiated.

**5.0 Energy Code Compliance**

- 5.1 On all new buildings or additions, a COMcheck report verifying compliance with the 2006 Edition of the International Energy Conservation Code (IECC) or ASHRAE 90.1-2007 shall be provided with the design development submittal. COMcheck is a free program provided by the US Department of Energy and can be downloaded from their website.
- 5.2 When the project is a renovation, retrofit or repair, the COMcheck report, or other specific information, verifying compliance with the 2006 Edition of the IECC or ASHRAE 90.1-2007 will only be required on systems or components being replaced or altered.

**6.0 Rendering**

- 6.1 If a rendering has been included in the firm's contract, the project team will determine when the rendering should be completed and the firm shall provide the following:
  - 6.1.1 A sketch of the proposed perspective for approval from the project team prior to beginning the rendering.
  - 6.1.2 Unless otherwise directed, computer generated renderings are standard. The agency will have approval on the media used to execute the rendering.
  - 6.1.3 Two renderings, one original and one full size, color copy, a minimum of 400 square inches without the matting.
  - 6.1.4 The building name, agency/institution for which the project is being designed, and the name of the project architect/engineer's firm.
  - 6.1.5 Both renderings shall both be framed with a metal frame, at least a 2" matt on all four sides, and have a wire on the back for hanging.
  - 6.1.6 Two color photocopies of the original rendering reduced to half size.

**END OF CHAPTER 12**

**CHAPTER 13 - CONSTRUCTION DOCUMENTS****1.0 General Formatting**

- 1.1 Policies and procedures contained in this chapter apply to restricted and unrestricted capital improvement projects.
- 1.2 Any deviation from any of the requirements in this chapter shall either be negotiated during the fee negotiation phase or requested and approved by DFM prior to commencing the work.
- 1.3 The project architect/engineer shall provide drawings on vellum (or Mylar®) and shall provide electronic drawings and specifications on CD / DVD in accordance with Chapter 17 - Electronic Document Submittals.
  - 1.3.1 Due to restrictions on the computer security system, DFM is not able to receive .ZIP files. Please send any review documents to DFM in .DOC, .DWG or .PDF file formats.
- 1.4 The project title shall be written in the following order: agency abbreviation, building name and a title of work. (Example: KDOT Horton Subarea Shop HVAC Upgrade.)

**2.0 Final Drawing Requirements**

- 2.1 The Construction Document Checklist FPDC Form 223 located on the website <http://da.ks.gov/fp/manual.htm> is to be used throughout the entire design and construction document phases of the project. These are intended to guide the design team to provide a complete set of construction documents.
- 2.2 The preferred size of drawing sheets for final drawings is 24" x 36". Drawings larger or smaller than 24" x 36" shall be approved by DFM prior to beginning the drawings.
- 2.3 Each sheet of the final drawings, including the cover sheet, will have a title block. The title block on the 24" x 36" sheet should be a minimum of 2" wide. The lower 12-inch section of the title block is reserved for the state's project information as shown on the graphic sample provided at the end of the Construction Document Checklist FPDC Form 223.
- 2.4 All drawings shall comply with the current United States National CAD Standard as published by the National Institute of Building Sciences. More information is available at <http://www.nationalcadstandard.org>.
- 2.5 All floor plans, including demolition, architectural, structural framing, mechanical and electrical plans shall be oriented the same direction, preferably oriented with a north arrow pointing to the top of the page, and shall have both a numeric scale and a graphic scale.
- 2.6 All building plans, i.e. architectural, reflected ceiling, roof, structural, mechanical, plumbing, electrical, lighting, fire suppression, of each floor shall be drawn to a scale of not less than one-eighth inch per foot. Floor plans of buildings less than 100 feet in length should be drawn at a scale of one-fourth inch per foot. Regardless of scale, all plans shall be the same scale, except for enlarged plans and details.
- 2.7 Each plan, detail and drawing shown on the documents shall be drawn accurately, and have the appropriate title and scale indicated.
- 2.8 If included in the project, alternates and unit prices shall be designated in whole numbers without subsets. (Example: Alt. 1, Alt. 2, Alt. 3, etc rather than Alt 1, Alt 1a, Alt 1b, etc). As accurately as possible, identify alternate work on plans and details for all disciplines.

- 2.9 The project architect/engineer shall efficiently use the drawing space on all drawing sheets leaving no white or blank spaces.
- 2.10 Each discipline shall provide a legend, using symbols and notations standard to the industry, indicating each symbol's meaning, and shall be located on the first sheet of each discipline's individual set of plans.
- 2.11 Locate and detail all fire-rated devices, dampers, assemblies, ceilings, walls, etc. to sufficiently explain fire-rating requirements shall be shown throughout the drawings. Each fire-rated assembly shall be identified by its Underwriters Laboratory (UL) design number or shall be an approved assembly by the IBC.

### 3.0 Final Specification Requirements

- 3.1 A current edition of a guide specification similar to Arcom's MasterSpec or BSD's SpecLink@ is required on all projects. All specifications shall follow the CSI Master Format section, numbering and outline formats for the 49 Division, 6-digit section number format.
- 3.2 The Specification cover, Documents A through I, and one section of Division 1 ("Front End") will be prepared by DFM. The project architect/engineer shall provide project data to DFM using the Specification Front End Data FPDC Form 305 located on the DFM website <http://da.ks.gov/fp/manual.htm>.
- 3.3 Final specifications created by the project architect/engineer shall be originals and shall include Division 1 sections not included in the above DFM section, and all technical specification sections.
  - 3.3.1 Do not insert blank pages at the end of each specification section or division. These pages will be removed before printing.
  - 3.3.2 If included in the project, alternates and unit prices shall be designated in whole numbers without subsets. (Example: Alt. 1, Alt. 2, Alt. 3, etc rather than Alt 1, Alt 1a, Alt 1b, etc). Reference specific drawings or specification sections.
    - 3.3.2.1 If two or more alternates are mutually exclusive, include language describing this condition in the alternate.
    - 3.3.2.2 On Document C - Form of Bid the alternate descriptions and unit price descriptions shall be titles summarizing the full description provided in Division 1.
    - 3.3.2.3 In the Division 1 section on Alternates, provide a complete narrative of each alternate to fully describe the scope of work and guide bidders to the appropriate specification sections and drawings.
  - 3.3.3 Division 1 sections provided by the project architect/engineer shall be coordinated by the project architect/engineer with the General Conditions, Supplemental General Conditions and Division 1 section as provided by DFM.
- 3.4 The first page following the specification cover will have the project title, DFM project number, agency name and each discipline's seal, signature and current date. As an option, each discipline may provide the required information on a separate page.
- 3.5 The project architect/engineer shall prepare and provide the Specification Table of Contents in both a paper copy and an electronic copy, by using the Table of Contents template available on

the website <http://da.ks.gov/fp/manual.htm> under planning forms. Format page numbers as shown on the template.

3.5.1 3.5.1 Table of Contents shall be prepared in .DOC / DOCX format.

3.6 DFM will determine if a specification will be in multiple volumes and will provide the cover sheet information for each volume.

3.6.1 A complete Table of Contents shall be provided at the front of each volume and shall indicate the contents of each volume.

3.7 Final specifications shall be printed on only one side of 8 1/2" x 11" white bond paper.

3.8 Final specifications shall be formatted to comply with the following to match the State of Kansas supplied sections:

3.8.1 Each page shall have a single column format with equal margins on both the right and left sides in order to facilitate two-sided copying.

3.8.2 Side margins shall be set at 3/4" maximum (conservation of paper).

3.8.3 Top and bottom margins shall be 1/2" minimum.

3.8.4 Use Arial or Helvetica Font 10 pt (these fonts use less toner than Times New Roman).

3.8.5 Each page shall have the DFM project number, spec section number and a page number.

3.9 Final specifications shall **NOT** be stapled or hole-punched.

3.10 Soils reports may be incorporated into the specifications at the end of the earthwork division as directed by DFM. If not incorporated, it will be made available to all plan holders by request.

3.11 All other documents, technical reports, legal descriptions, records and/or papers prepared by the design team for the project shall be sealed, signed and dated.

#### 4.0 Document Review Requirements and Procedures

4.1 If needed, three in-progress reviews of the construction documents are required unless otherwise negotiated -- one review at 30% completion, one review at 60% completion and a final review. The following items should be provided in all review documents:

4.1.1 Request for Review Form at each phase.

4.1.2 Compliance with applicable codes, standards and laws listed in the firm's contract, and outlined in Chapter 7.

4.1.3 Coordination of structural, architectural, mechanical, plumbing, fire suppression/fire alarm and electrical designs and information.

4.1.4 Update of construction costs at each phase. If the project architect's or project engineer's construction estimate exceeds the agency's programmed construction budget approved at the initial fee negotiation, it is the responsibility of the agency to assist the firm in identifying options and means (including a decrease in scope, material selection, and/or alternates, etc.) to bring the firm's estimate within the programmed budget.

4.1.5 Update of project schedule.

5.0 30% Document Review Submittal

5.1 When the construction documents are 30% complete, in addition to the items in section 4.1, the project architect/engineer shall include the following items:

5.1.1 Compliance with applicable codes, standards and laws listed in the firm's contract, and outlined in Chapter 7.

5.1.1.1 5.1.1.1 In-progress (draft) or final code footprint.

5.1.2 Details showing construction of walls, doors and other components that are related to building code and accessibility standards.

5.1.3 Detail dimensions.

5.1.4 A roof plan showing roof slope, parapets, scuppers and roof drains as applicable to the project.

5.1.5 A structural plan for each level showing basic information as it relates to the structural components of the building.

5.1.6 Exterior elevations showing finish and existing grades.

5.1.7 Building sections, wall sections and critical details shall be identified.

5.1.8 Refinement of proposed building systems including sprinkler and fire alarm systems.

5.1.9 Preliminary finish schedule.

5.1.10 Provide outline specifications and material cut sheets to adequately describe equipment, materials and special requirements.

5.1.11 Edited specification sections appropriate to the project, including data on major materials, building systems and fire-resistive assemblies.

5.1.12 Verification of program budget.

6.0 60% Document Review Submittal

6.1 When the construction documents are 60% complete, in addition to the items in section 4.1, the project architect/engineer shall include the following items:

6.1.1 Compliance with applicable codes, standards and laws listed in the firm's contract, and outlined in Chapter 7.

~~6.1.1.1~~ 6.1.1.1 In-progress (draft) or final code footprint, dependent on 30% Document Review Submittal

6.1.2 Refinement of the architectural drawings, including preliminary door, window and finish schedules.

- 6.1.3 Refinement of specifications, including information on installation of major materials, building components and building systems including sprinkler and fire alarm systems.
- 6.1.4 Budget review and analysis containing detailed material and labor takeoffs all elements of the project such as structural, architectural, mechanical, plumbing, fire protection and electrical, etc.

## 7.0 Final Document Review Submittal

- 7.1 When the construction documents are 100% complete, in addition to the items in section 4.1, and the project architect/engineer has completed the following, the plans and specifications shall be submitted for **final review** as follows:
  - 7.1.1 Documents have been checked thoroughly by the project architect/engineer for compliance with all applicable building codes and accessibility laws, as outlined in Chapter 7.
    - 7.1.1.1 7.1.1.1 Final code foot print has been submitted for review and approved by DFM.
  - 7.1.2 Documents have been checked for completeness, accuracy, and coordination for all disciplines by the project architect/engineer in order to avoid any installation conflicts during construction.
- 7.2 Final **review** documents on bond. DO NOT SEND FINAL REVIEW DOCUMENTS ON VELLUM.
- 7.3 An estimate of all construction costs, alternates and estimate contingency to demonstrate the base bid is within the agency's programmed budget.
- 7.4 After final review comments have been provided to the project architect/engineer, the drawings and specifications (including all disciplines) shall be coordinated and corrected to ensure the bid documents are complete, accurate and comply with all applicable building codes, standards, laws and accessibility requirements.

## 8.0 Completion of the Construction Document Phase

- 8.1 Deliverables noted in this section are the same submittals required for electronic plan distribution. Plans and specifications will be submitted both electronically and on paper.
- 8.2 When the owner and DFM are satisfied that the project architect/engineer has met all the above requirements the following information shall be submitted to the DFM planner.
  - 8.2.1 An approved code footprint, signed by all parties is on file at DFM.
  - 8.2.2 Final bid drawings on vellum or Mylar®.
  - 8.2.3 All drawing sheets, including the cover sheet, shall have title blocks as described at the end of the Construction Document Checklist FPDC Form 223, and shall containing each discipline's seal, signed and dated across the seal.
    - 8.2.3.1 If drawings are completed on 11" x 17" paper, at DFM's option, they may be added to the back of the specification manual or printed as a separate document
  - 8.2.4 A full set of the technical specifications on 8 1/2" x 11" bond, single sided.



- 8.2.5 At least one 8 1/2" x 11" sheet with each discipline's seal, signed and dated across the seal.
- 8.2.6 An accurately prepared complete Table of Contents in .DOC / .DOCX format.
- 8.2.7 A completed Specification Front-End Data FPDC Form 305.
  - 8.2.7.1 During the bidding phase, if a project's funding source (i.e. federal funds) requires additional or unusual procedures beyond what the State of Kansas requires, the agency shall assist the project architect/engineer in identifying the specific procedures in an attachment to the Specification Front End Data FPDC Form 305.
- 8.2.8 A CD / DVD of electronic .PDF files of the drawings and specifications. Follow Chapter 17 – Electronic Document Submittals for guidelines for electronic drawing submittals.
- 8.3 When the agency and DFM concur that the above requirements are met, the Construction Document Phase is complete. The project will proceed into the bid phase (Chapter 14) at the direction of the agency.
- 8.4 The originals and CD / DVD of all documents (including addenda) will be archived at DFM.

**9.0 END OF CHAPTER 13**

## CHAPTER 14 – BIDDING

### 1.0 General Information

- 1.1 When the requirements for Construction Documents in chapter 13 are met, DFM will prepare and insert specification documents A through I, Section 01 0000, and the specification cover into the specification manual provided by the project architect/engineer.
- 1.2 The DFM planner will select a bid date and request a pre-bid conference date (at least 14 calendar days prior to the bid date), time and location from the agency for the release to bidders form.
- 1.3 The bid date will be advertised in the *Kansas Register* and on the DFM website at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/) under Job/Project List, where plan holder lists are available by clicking on the DFM project number.
- 1.4 Drawings completed on 11" x 17" paper will either be added to the back of the specification manual or printed as a separate set of documents, whichever DFM deems appropriate.
- 1.5 Printing and distribution of final drawings and specifications and addenda to all eligible parties will be coordinated by DFM. All costs for the bidding phase will be paid from the project funds.

### 2.0 Project Architect's/Engineer's Responsibilities

- 2.1 The project architect/engineer shall conduct a pre-bid conference when requested by the agency.
- 2.2 The project architect/engineer shall provide all addenda, except the addendum providing the pre-bid conference information.
- 2.3 During the bidding period the project architect/engineer is responsible for any needed interpretations, clarifications and addenda and shall evaluate all materials and equipment submitted as substitutions to those specified. Those bidders who have submitted unacceptable substitutions will be notified in writing by the project architect/engineer, with a copy to the state agency and to DFM. Approved substitutions will be described only in an addendum.

### 3.0 Pre-Bid Conference

- 3.1 The date, time and place of the conference will be communicated to eligible plan holders in the first addendum issued by DFM.
- 3.2 The project architect/engineer is responsible for the pre-bid conference and shall chair the meeting. A sample Pre-Bid Agenda FPDC Form 320 is available at the DFM website <http://da.ks.gov/fp/manual.htm>.
- 3.3 The project architect/engineer shall have the consultants present at the pre-bid conference, provide a description of work, answer questions, and participate in a walk-through of the project site.
- 3.4 If the project scope requires it, contractors will be given access to the project site for a walk-through.
  - 3.4.1 If the walk-through is the only time the contractors will be allowed to view the project site, it must be stated clearly in the notification of the pre-bid.

- 3.5 The project architect/engineer shall be responsible to provide an addendum summarizing the pre-bid meeting, which will include all interpretations and corrections to the contract documents discussed at the meeting and/or during the on-site walk-through. A list of pre-bid conference attendees shall also be included.

4.0 Addenda

- 4.1 DFM will print and distribute all addenda.
- 4.2 Except for the first addendum providing the pre-bid conference information, addenda shall be written by the project architect/engineer in .DOC / .DOCX format and e-mailed to both the DFM Plan Room ([lori.ploude@da.ks.gov](mailto:lori.ploude@da.ks.gov)) and the DFM planner for approval. Addenda FPDC Form 315 is available on the website <http://da.ks.gov/fp/manual.htm>.
- 4.2.1 Any unusual or specific requirements by the agency or the project's funding source shall be attached to the Specification Front End Data FPDC Form 305 for DFM to be included in the first addendum.
- 4.3 Addenda shall be organized as follows:
- 4.3.1 Addenda form (printed in pink,)
- 4.3.2 New bid form, if required (different color than the original bid form),
- 4.3.3 Specifications either white, green or yellow (depending on discipline),
- 4.3.4 Drawing sheets (white).
- 4.4 Submit documents as follows:
- 4.4.1 Documents shall be sent to DFM in .DOC / .DOCX, .PDF or .DWG format. Due to restrictions on the computer security system, DFM is not able to receive .ZIP files.
- 4.4.2 All drawings shall be on the same sized paper with matching title block. All information required in the titleblock at the end of the Construction Documents Checklist FPDC Form 223. Drawings will be attached at the end of the addenda.
- 4.4.3 If the project architect/engineer is providing drawings larger than 11" x 17", DFM shall be notified in advance and one day shall be added to those guidelines noted in 4.6 below for addenda deadlines.
- 4.4.3.1. Any drawing larger than 11" x 17" shall be sent to DFM on vellum / Mylar® properly sealed, signed and dated.
- 4.5 DFM reserves the right to rearrange the addenda and any related attachments to allow ease of printing.
- 4.6 Final addenda will be issued by the DFM plan room no later than seven (7) working days prior to the project's bid date.
- 4.6.1 The project architect/engineer is required to deliver the final addenda by 10:00 am eight (8) working days prior to the bid date for formatting and printing
- 4.6.1.1. Final addenda received after the above deadline may require postponement of the bid date.

- 4.6.2 Final addenda with sheets larger than 8.5" x 11" will require additional days for printing and distribution depending on the size and number of large sheets.
    - 4.6.3 Final addenda with more than 20 pages, with several colors or sizes of paper will require one (1) additional day to the deadlines listed in 4.6 and 4.6.1 above.
  - 4.7 Significant problems that arise less than ten (10) calendar days prior to the bid date shall be brought to the attention of the state agency and DFM and may result in the postponing of the bid date.
  - 4.8 Addenda language for projects being **rebid** shall be: This project is being rebid without any changes to the bid documents.
  - 4.9 Addenda language for projects being **revised** for rebidding shall give a brief description of the changes with sufficient detail to inform the bidders what was revised.
  - 4.10 Addenda will **only** be sent to plan holders who received plans directly from DFM and are on the DFM plan holder list.
- 5.0 Award of Construction Contract
- 5.1 Purchases is responsible for opening and reviewing bids for each project.
  - 5.2 Once the bids are reviewed and sent to DFM, the bid tabulations are posted on the DFM website (<http://da.ks.gov/fp/bidtab>) and forwarded to the state agency and the project architect/engineer for their review.
  - 5.3 If the bid is within the amount of funds allocated for the construction of the project, the project architect/engineer will make a recommendation to the state agency regarding the lowest responsible bidder.
  - 5.4 If the state agency accepts the lowest responsible bidder and notifies DFM, DFM will send an advice of award of contract to the Purchases for further processing.
  - 5.5 If the state agency accepts add alternates which changes the lowest responsible bidder's major subcontractor(s) listed on the bid form, the lowest responsible bidder is required to provide the name and address of the major subcontractor(s) which are changed.
- 6.0 Signing the Construction Contract
- 6.1 Purchases will issue blank construction contracts for the project to the contractor, state agency, and DFM which are to be signed and returned to Purchases.
    - 6.1.1 The agency will return their signed contract with a Purchase Order.
    - 6.1.2 The contractor will return two (2) signed contracts to Purchases with the following:
      - 6.1.2.1 proof of workers' compensation insurance, comprehensive general liability and automobile liability in the required amounts
      - 6.1.2.2 builder's risk insurance for new construction (or an all-risk installation floater for renovations)
      - 6.1.2.3 a performance bond (Specification Document G);

6.1.2.4 a public works bond (Specification Document H) in an amount equal to the contract price,

6.1.2.5 a county bond receipt.

6.2 Purchases will complete the agency's purchase order and provide Accounts and Reports (A&R) the signed contracts and associated documents.

6.3 A&R will sign the contracts, encumber the money and return signed contracts and associated documents to the appropriate parties.

6.4 The contractor will receive two fully executed contracts from Purchases.

6.5 When DFM receives copies of the signed contracts from Purchases, DFM will write the Notice to Proceed for the next day in accordance with the bid documents.

6.5.1 If the agency wishes to have the Notice to Proceed issued sooner, Purchases can approve the insurance submittal upon receipt and review. The state agency may request via an e-mail to Purchases ([galen.greenwood@da.ks.gov](mailto:galen.greenwood@da.ks.gov)) verification of insurance approval. Agency shall forward E-mail verification to DFM along with the contractor's name, address and the number of days (or actual completion date) for the time of completion. Upon receipt of this e-mail, DFM will issue a Notice to Proceed.

## 7.0 When Bids Exceed Allocated Funds

7.1 Following the bidding period, should the lowest qualified bid exceed the funds which have been identified by the agency and submitted to DFM prior to bidding for the construction of the project, the project architect/engineer shall consult with the project team to determine how to proceed.

7.2 If the decision is made to modify and revise the construction documents for re-bidding, the project architect/engineer shall, **without** additional compensation, modify and revise the construction documents as needed for re-bidding.

7.3 The revised bid documents shall be submitted as directed by the state agency and DFM.

7.4 If a project is rebid or re-issued due to errors and omissions by the project architect/engineer and/or the firm's consultants, the project architect/engineer may be required to pay for the printing and shipping costs associated with the re-issuance of the construction documents.

## END OF CHAPTER 14

**CHAPTER 14a – ELECTRONIC PLAN DISTRIBUTION****1.0 General Information**

1.1 DFM has contracted with Integrated Digital Technologies (IDT), an electronic plan room, for plan distribution on restricted and unrestricted capital improvement projects. Initially projects will be identified to be distributed either using the DFM Plan Room **or** the IDT electronic plan distribution. The bidding process will remain unchanged and will be administered by the State of Kansas Division of Purchases. Projects will be identified individually whether they will be distributed by DFM or IDT.

1.2 The procedures identified in this Chapter 14a are a supplement to the procedures in Chapter 13 – Construction Documents, Chapter 14 – Bidding, and Chapter 17 – Electronic Drawing Submittals. Chapter 13, 14, and 17 requirements not changed or augmented by Chapter 14a will remain in effect.

1.2.1 Deliverables noted in Section 8.0 of Chapter 13 are the same submittals required for electronic plan distribution. Plans and specifications will be submitted both electronically and on paper.

1.3 The following paragraph precedes the Job/Project list on the DFM (Facilities Planning, Design and Construction) website at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/) . It provides potential project plan holders general information about the electronic plan distribution process and directs them to the electronic plan room.

**\*\* Construction Documents for a project with title preceded by a double asterisk (\*\*) are being distributed through an electronic plan room “Integrated Digital Technologies”. This site requires a free registration so all interested parties can access the plans and specifications and be notified of additional addendum postings. Contractors may download the documents for printing in-house, view them on line or have them sent to a local printer. Plan holders/bidders will be responsible for printing costs associated with these documents. Contractors, subcontractors and suppliers are responsible for understanding the scope of the work involved in these documents and for obtaining the appropriate documents for their work. Please [click here to be transferred to the IDT website.](#)**

1.4 Registration for access to the IDT plan room is at <http://kansasdfm.contractorsplanroom.com/> . Registration is from the tab “Register Now!” located on the left side of the screen, and requires an accurate email address and a simple 7-step process to complete by the new user.

1.4.1 Interested bidders may download the documents to their computer, print them on their printers or plotters, or may order prints from a local reprographer.

**2.0 Project Architect's/Engineer's Responsibilities**

2.1 The project architect/engineer shall provide drawings and specifications in electronic format on CD / DVD to DFM for posting to the IDT website. DFM will not make corrections to files that cannot be uploaded due to format or file naming errors. Instead, DFM will request corrected files.

2.2 Electronic drawings must include professional seal with signature and date, printable at the intended size of the drawing. Drawings shall be submitted in .PDF or .TIF format. Drawing file titles must include the sheet number and a brief description of the sheet content.

2.2.1 Drawings and specifications shall be submitted at 300 dpi resolution.

- 2.2.2 The Kansas State Board of Technical Professions (KSBTP) recognizes electronic signatures. Specific rules and standards are available at the KSBTP website at <http://www.kansas.gov/ksbtp/seals.html>.
- 2.3 Specifications, other than noted below, shall be submitted in .PDF format bundled in one (1) .PDF file per specification division. Specification file titles must include the division number.
  - 2.3.1 The table of contents (TOC) and Division 1 shall be submitted in .DOC or .DOCX format.
  - 2.3.2 DFM will only review the TOC to verify the accuracy of page numbers for the front end (Documents A through I), make any changes as necessary, add the DFM Division 1 section, add a specifications cover, and create a .PDF file for posting.
- 2.4 Addenda shall be submitted in .DOC / .DOCX format.
- 2.5 Project architect/engineer contact email address shall be submitted to use in posting documents to IDT electronic plan room website.
- 3.0 Division of Facilities Management Responsibilities
  - 3.1 DFM will coordinate with the owner and project architect/engineer to determine if a project will utilize the electronic plan distribution process. When it is determined that electronic distribution will be utilized, DFM will setup the project on the IDT website.
  - 3.2 DFM will create the project data pages and upload (post) all of the bid document files.
  - 3.3 DFM will identify the project on the DFM website as a project to be distributed using the IDT electronic plan room.
- 4.0 Owner Responsibilities
  - 4.1 The owner (agency) pays a fee for each project for use of the on-line plan room services. The agency designates a single point of contract for the receipt of the bill direct from IDT.
  - 4.2 The owner will pay for printed bidding documents for use by the design team, DFM, and the agency staff.
  - 4.3 After the award of contract, the owner will provide the successful bidder ten (10) sets of drawings, specifications, addenda, and other documents required for project construction.

**END OF CHAPTER 14a**

## CHAPTER 15 – CONTRACTOR PRE-QUALIFICATION

### 1.0 General Information

- 1.1 The State of Kansas, the Division of Facilities Management has implemented a process to pre-qualify contractors. This process is the state's method of further defining the term "responsible bidder" in statute [K.S.A. 75-3740](#).
- 1.2 A taskforce was assembled with members from the Associated General Contractors (AGC), American Institute of Architects (AIA), Kansas Council of Engineers (KCE), and various state agencies along with representatives from DFM. The taskforce has revised an existing procedure for contractors interested in providing construction services for the State of Kansas.
- 1.3 Any company wishing to bid as a **prime** contractor (i.e. those wishing to bid on projects under their own company name) will need to follow the requirements. This includes, but is not limited to, general, mechanical, electrical and plumbing contractors as well as fire alarm contractors, security contractors, roofers, pavement and landscape contractors.
- 1.4 If a contractor submits a bid and the company is not pre-qualified, the bid will not be opened and will be returned to the company.
- 1.5 Applications are required to be resubmitted every three years from the date of your initial application. You will be notified when you are required to resubmit you application.

### 2.0 The Pre-qualification Process

- 2.1 The first step in being pre-qualified is to submit a Statement of Qualifications for approval. This is referred to as their application.
- 2.2 The contractor may use either the AIA A305 Contractor's Qualification Statement (latest edition) or the AGC Consensus Docs 221 Contractor's Statement of Qualifications (latest edition).
  - 2.2.1 The AIA form can be ordered from the AIA website at [www.aia.org](http://www.aia.org) then click on "purchase contract documents", or contact the local AIA office. The AIA Kansas office in Topeka can be reached at 785-357-5308. The AIA Kansas City office on Kansas City Missouri can be reached at 816-221-3485.
  - 2.2.2 The AGC document can be purchased on the AGC website at [www.agc.org](http://www.agc.org), then click on "contract documents" or contact the local AGC office. The AGC of Kansas office in Topeka can be reached at 785-266-4015. The AGC of Kansas City can be reached at 816-531-4741.
- 2.3 Contractors will be notified when their application has been received, at which time their status is noted as "pending".
- 2.4 A contractor may bid and be awarded one project while his/her application is "pending".
- 2.5 Contractors must have their applications submitted to DFM in order to receive plans for any project they wish to bid as a prime contractor. Plans will not be sent to any contractor until the contractor has submitted his/her application.
- 2.6 Contractors should be referred to the Division's website at [www.da.ks.gov/fp](http://www.da.ks.gov/fp) and follow the links for Contractor Pre-qualification. Full instructions for submittal along with additional information about the pre-qualification process are located on this website.



- 2.7 Kansas Department of Transportation (KDOT) has a pre-qualification process for road and bridge work, which is substantially different than DFM's prequalification process. Contractors who are pre-qualified with KDOT are not pre-qualified to bid on DFM projects unless the contractor has already completed the DFM pre-qualification process. If a contractor is pre-qualified with KDOT and wishes to complete the DFM pre-qualification process, the approval letter from KDOT should be included.

2.7.1 The KDOT and DFM pre-qualification processes are completely different. Approval by one does not guarantee approval by the other.

- 2.8 Questions about the process that can not be answered on the website should be directed to 785-296-8899.

3.0 Renewal Process

- 3.1 After the initial three year approval, contractors will be required to send a renewal application.

3.1.1 A letter will be sent to the firm 2 to 3 months in advance of the expiration date of the application.

- 3.2 To proceed with the renewal process, fill out the Renewal Form FPDC Form 840 found at our website at <http://www.da.ks.gov/fp/contractor/default.htm>. The form may be sent in via e-mail, fax or regular mail.

**END OF CHAPTER 15**

## CHAPTER 16 – CONSTRUCTION ADMINISTRATION

### 1.0 General Information

- 1.1 The project architect/engineer shall have primary responsibility for the inspection of the project, and shall represent the owner and advise and consult the project team in the administration of the construction contract or contracts.
- 1.2 The project architect/engineer shall keep the project team informed and aware of all construction activity, requesting assistance when necessary.
- 1.3 When the construction contract has been awarded by Purchases, DFM will issue a Notice to Proceed in accordance with Chapter 14, section 6.0.

### 2.0 Project Meetings

- 2.1 The project architect/engineer shall coordinate scheduling a pre-construction conference with the contractor, subcontractors, state agency representatives and DFM inspectors. A Pre-construction Conference Agenda FPDC Form 430 is available at <http://da.ks.gov/fp/manual.htm>.
- 2.2 Conduct progress meetings to review the status, schedule and quality of work for compliance with contract documents. This responsibility may be delegated to the contractor when approved by the project team.
  - 2.2.1 Be responsible for all meeting minutes and issue them in a timely manner to all parties as directed. This responsibility may be delegated to the contractor when approved by the project team.
  - 2.2.2 Attend any project meeting as required by the state agency or DFM to resolve problems at no additional cost to the owner.
  - 2.2.3 On DFM full-service projects and code inspections, any additional meetings will require coordination with DFM representatives 3 working days prior to any meeting scheduled.

### 3.0 Shop Drawings

- 3.1 The project architect/engineer shall review and approve shop drawings of fabricators and manufacturers, and samples of materials for conformance with the drawings and specifications and submit copies of approved shop drawings to the contractor, the state agency and DFM simultaneously.
- 3.2 Sprinkler and fire alarm shop drawings shall follow requirements in Chapter 7.
- 3.3 During the shop drawing submittal phase, substitutions for **only** discontinued products may be submitted for approval. No other substitutions can be submitted for approval after the “request for substitution” period during the bidding phase.
- 3.4 For projects which have security related shop drawings, as part of the close out procedures, the project architect and engineer shall return all security related shop drawings to the Owner.

### 4.0 Project Architect/Engineer Inspections

- 4.1 At a minimum, provide the following inspection services:
  - 4.1.1 Conformance with the contract documents.

4.1.1.1 Upon recommendation by the project architect/engineer, the state agency and DFM, the Secretary of Administration may issue a stop work order to the contractor whenever the Secretary determines that the work does not comply with the contract documents. (K.S.A. 75-3783 (a),(3)).

4.1.2. Inspection of site utilities prior to any utility being buried.

4.1.3 Inspection of above ceiling work and in concealed spaces prior to the spaces being covered up.

4.1.4 Inspection of each life safety item or system.

4.2 At each payment application, review the contractor's record documents to verify contractor is noting changes made during construction.

4.3 Prepare and distribute field reports.

## 5.0 DFM Code Inspections

5.1 DFM performs code inspections during construction for the Secretary of Administration. Reference Chapter 7, section 5.4 of this manual for required inspections.

5.2 Any code questions from the DFM construction observer or DFM code inspector will be directed to the DFM planner who will forward the information to the project architect/engineer.

## 6.0 Interpretation of the Contract Documents

6.1 The project architect/engineer shall determine the meaning and intent of any portion of the contract documents.

6.1.1 Respond promptly to requests from the contractor for information and interpretations, so that the construction schedule is not adversely affected. All requests for information and interpretation from the contractor shall be documented in writing and distributed to the contractor, state agency representatives and DFM.

6.1.2 Issue field orders to the contractor for adjustments or changes in work. All field orders shall be documented in writing and distributed to the contractor, state agency representatives and DFM.

6.2 The project architect/engineer's interpretations or clarifications of the contract documents are subject to review by the Director of the Division of Facilities Management.

6.2.1 When the Director is notified by the contractor within ten (10) days of an unresolved disputed interpretation with the project architect/engineer's written clarification, the Director or his designee will meet with the Contractor and project architect/engineer to hear the positions of both parties.

6.2.2 The director may designate alternative procedures to receive and review the positions of the parties or may delegate the decision-making power to a negotiating committee. The director, his designee or the negotiating committee will render a decision within thirty (30) days of the hearing.

**7.0 Contractor Payment Applications**

- 7.1 The project architect/engineer shall review the contractor's application for payment for accuracy of the amount requested and the status of the on-site record documents. Undisputed requests for payment shall be approved and forwarded to the Owner within seven (7) days of receipt.
  - 7.1.1 The schedule of values (similar to AIA Document G703) submitted by the contractor should include a line item for record documents.
  - 7.1.2 When recommending the application for payment, the project architect/engineer shall sign and forward the application to the state agency, and send a copy to DFM.
  - 7.1.3 The state agency will prepare a contract estimate voucher (DA-124) and batch sheet, and forward all documents to A&R.
  - 7.1.4 After verification of funds, A&R will print a warrant for payment to the contractor.
- 7.2 If the project architect/engineer does not approve a payment the contractor shall be notified and given a choice of resubmitting the application with correct information, or holding it until work is at the level indicated on the application.

**8.0 Construction Contract Change Orders**

- 8.1 The project architect/engineer shall prepare and sign change orders in a timely manner. The Contract Change Order FPDC Form 460 is available at <http://da.ks.gov/fp/manual.htm>.
  - 8.1.1 The project architect/engineer shall provide five (5) copies of the change order for routing and signature by the designated parties.
  - 8.1.2 All change order items shall be related to the original scope of work (i.e. unforeseen conditions, errors, omissions, etc.) and have prior approval from the state agency.
  - 8.1.3 Prior approval from DFM is required for building code and accessibility issues.
  - 8.1.4 Multiple items may be included on each change order.
- 8.2 All change orders greater than \$125,000 shall be reported to the Joint Committee on State Building Construction (JCSBC) by the Secretary of Administration (through DFM). ([K.S.A. 75-1264](#))
  - 8.2.1 Failure to notify DFM in a timely manner of a change order over \$125,000 may result in a delay of change order approval.
  - 8.2.2 DFM will sign these change orders after they have been reviewed by the JCSBC.
  - 8.2.3 Attendance by the agency representatives and the project architect/engineer at the presentation of the change order to JCSBC may be required.

**9.0 Substantial Completion**

- 9.1 All forms mentioned below are available on the DFM website at <http://da.ks.gov/fp/manual.htm>.
- 9.2 The project architect/engineer shall determine substantial completion (or partial substantial completion) by conducting a joint inspection with the contractor, state agency representatives and DFM representatives.

- 9.2.1 When found substantially complete the project architect/engineer shall prepare a **punch list** of incomplete items or deficiencies and shall include a date for each item to be finished.
- 9.2.2 Without delay the project architect/engineer shall distribute the punch list along with four (4) signed copies of the Certificate of Substantial Completion FPDC Form 570 (or Certificate of Partial Substantial Completion) to the contractor, state agency representatives and DFM.
- 9.2.3 Issuance of substantial completion shall not be construed to permit occupancy. Occupancy shall be permitted when DFM issues the Certificate of Occupancy as noted in Chapter 7
- 9.2.4 It is the project architect's/engineer's responsibility to ensure that **punch list items** are finished in a timely manner and to conduct an inspection with all parties to verify that all punch list items are finished.

## 10.0 Occupancy

- 10.1 Installation, testing, correction, and retesting of all life safety systems included in the project must be approved by DFM prior to the issuance of the Certificate of Occupancy FPDC Form 150 by the DFM Code Compliance Coordinator as outlined in Chapter 7.

## 11.0 Projection Completion and Final Payment

- 11.1 The project is complete when the project architect/engineer determines the construction is in accordance with the contract documents and the following items are complete:
  - 11.1.1 Punchlist items.
  - 11.1.1 Final Cleaning has occurred to the satisfaction of the Owner and project architect/engineer.
  - 11.1.2 If Commissioning is the responsibility of the contractor, it has been completed and a commissioning report has been delivered to the architect/engineer.
  - 11.1.4 If Testing and Balance is the responsibility of the contractor, reports have been completed and delivered to the architect/engineer.
  - 11.1.5 All warranties and instructions have been delivered to the Owner.
  - 11.1.6 O and M manuals have been delivered to the project architect/engineer, have been reviewed for completeness and have been delivered to the Owner.
  - 11.1.7 Training and demonstrations of as required by the specifications has been completed.
  - 11.1.8 All keys have been delivered to the Owner.
  - 11.1.9 All maintenance equipment and tools have been delivered to the Owner.
  - 11.1.10 All extra materials and spare parts have been delivered to the Owner.
  - 11.1.11 Record Documents have been delivered to the project architect/engineer.

11.1.12 DFM has received all final paperwork listed below.

11.2 The final paperwork is initiated when the project architect/engineer prepares and forwards four (4) copies of the signed Certificate of Project Completion Form 575 and two (2) copies of the Affidavit FPDC Form 580 to the contractor.

11.3 The contractor shall sign the Certificates and Affidavits and forward them with two (2) copies of the final payment application to the state agency.

11.3.1 The Affidavit states that all project indebtedness of the contractor or subcontractors has been paid in full and the state of Kansas has been paid in full for all loss, cost damage or other expense caused by the contractor or subcontractors.

11.4 The state agency signs the Certificates of Project Completion and final payment applications and forwards all documents to DFM who signs the Certificates of Project Completion and forwards the documents to A&R for final payment to the contractor.

11.5 When the Certificate of Project Completion is signed by all parties, the state agency assumes responsibility for maintenance, custodial care and utilities for the premises not previously accepted under prior Certificate(s) of Partial Occupancy.

## 12. Post-Construction Services

12.1 The project architect/engineer shall complete a contractor evaluation on each project. DFM uses these evaluations in the contractor pre-qualification process (See Chapter 15). The form is available at <http://da.ks.gov/fp/manual.htm>.

12.2 The project architect/engineer shall submit as-built drawings and specifications to DFM within three months of project completion.

12.2.1 As-built drawings shall reflect significant changes in the work made during the construction process.

12.2.2 Revisions shall be based on the contractor's Records Documents as required by the General Conditions of the construction contract. These documents generally include marked up black-line prints, drawings and other information.

12.2.3 Each as-built revision shall be clouded and dated.

12.2.4 Each as-built drawing sheet shall have the notation "As-Built" written in the titleblock in place of "Original Contract Documents" and shall have the date in the title block revised to match the date on the Certificate of Project Completion.

12.2.4.1 Record Documents represent the contractor's marked up revisions to the original drawings and should not be used in place of the term as-builts.

12.2.5 A complete set of as-built drawings shall be submitted on two media forms:

12.2.5.1 One (1) set on Mylar® or vellum.

12.2.5.2 Three (3) CD / DVD, each containing the same set of electronic drawings, in format complying with Chapter 17.

12.2.6 AAs-built drawings for all disciplines shall be consolidated onto one CD / DVD. Do not submit individual CD / DVD from each consultant.

- 12.2.7 A complete set of specifications shall be submitted in .PDF format on each CD / DVD along with the drawings.
- 12.2.8 DFM (and the agency) will have 60 days to review and request changes to the design team's as-builts.
- 12.2.9 DFM will retain the Mylar® / vellum as-built drawings and one set of electronic as-built drawings on CD / DVD.
- 12.2.10 The state agency will receive two (2) sets of CD / DVD of electronic drawings.
- 12.2.11 Additional Mylar® / vellum or CD / DVD copies of as-built drawings should be negotiated by the agency.
- 12.3 The project architect/engineer shall remain available during the one-year expressed warranty period to assist the state agency and DFM should problems develop.
  - 12.3.1 Within nine months of the date on the Certificate of Project Completion the project architect/engineer shall initiate a warranty inspection of the project jointly conducted by the project team.
  - 12.3.2 The project architect/engineer shall notify the contractor of any deficiencies discovered and is responsible to see that all items are completed in a timely manner.

**END OF CHAPTER 16**

## CHAPTER 17 - ELECTRONIC DOCUMENT SUBMITTALS

### 1.0 General Information

- 1.1 These guidelines establish minimum standards, which must be met in the submission of electronic data on all State of Kansas capital improvement projects. These standards provide uniform methods of archiving and sharing electronic data between the various owner/state agencies and project architects /engineers.
- 1.2 Reference Chapter 13, Section 8.0 for submittals for bidding purposes.
- 1.3 These standards are not meant to dictate the in-house methods or means by which each project architect/engineer creates construction documents in the normal conduct of their business. They are intended to establish standards for electronic files at the time they are submitted to the Division of Facilities Management for retrieving and archiving purposes.
- 1.4 The standards in Chapter 17 are mandatory for all project submittals.
- 1.5 The project architect/engineer is responsible for all consultants work.
- 1.6 Contact the Division of Facilities Management at 785-296-8899 for any clarification regarding these submittal requirements.

### 2.0 Submittal Requirements for .PDF Documents

- 2.1 Drawings and specifications shall be submitted in .PDF format.
  - 2.1.1 All scanned, files submitted in .PDF shall be saved at 300 dpi.
  - 2.1.2 Specifications shall be saved as one (1) document per specification division. File names must contain the DFM project number and the specification division number.
  - 2.1.3 Drawings shall be saved in one (1) drawing sheet per file. File names must contain the DFM project number, the sheet number and a brief description.

### 3.0 Submittal Requirements for .DWG Documents

- 3.1 Drawings in .DWG format are not required to be supplied to DFM or the agency unless included as part of the fee negotiation.
- 3.2 When negotiated, .DWG files shall comply with the current United States National CAD Standard current layering standards as published by the National Institute of Building Sciences. More information is available at <http://www.buildingsmartalliance.org/ncs/>.
- 3.3 All drawing files shall be submitted in ".DWG" format **only** on CD / DVD by the current version of Autodesk AutoCAD.
- 3.4 Drawings shall be saved in one (1) drawing sheet per file. File names must contain the DFM project number, the sheet number and a brief description.
- 3.5 All data in submitted .DWG file(s) for new projects shall be in a vector format. Raster format data shall be permitted only for existing facilities, either as stand-alone files or as underlays for remodeling projects within existing facilities.
- 3.6 All Fonts shall be non-proprietary and included with all electronic submission.



#### 4.0 File Content and Accuracy for .DWG

- 4.1 Accuracy: Accepted professional standards shall be maintained in the production of all electronic drawings and specifications.
- 4.2 Unused Entities: Before being submitted to DFM, all.DWG files shall be purged or packed of all unused entities, such as unused blocks (including nested blocks), symbols, layers and styles.
- 4.3 Display: All submitted .DWG files shall be saved in a "Zoom Extents" view.

#### 5.0 Deliverables

- 5.1 Each project shall be delivered on CD / DVD to DFM with one (1) project per CD / DVD.
- 5.2 All submitted CD / DVDs shall be in a format appropriate for Microsoft Windows based operating systems.
- 5.3 Create CD / DVD with a single closed recording session on a fully readable and **non-rewritable** CD / DVD.
- 5.4 All CD / DVD should include a drawing index in either Excel or Word.
- 5.5 Include all other files, which may be required to create "ready-to-plot" drawings.
- 5.6 Two steps for file conversion will be used to assure proper file creation of .DWG documents
  - 5.6.1 Bind individual drawings to include all reference files.
  - 5.6.2 Use "e-transmit" to attach all font and plot settings to the drawing file. Unzip the "e-transmit" file and place in a job folder on the CD / DVD.
- 5.7 The CD / DVD shall contain no more than two levels of folders. Reference the figures below.

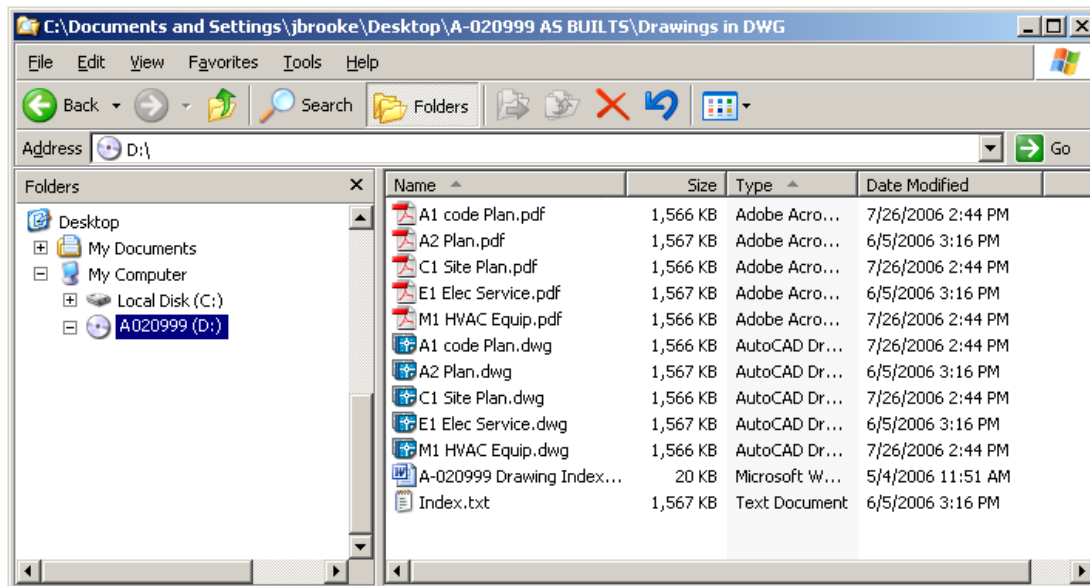


Figure 4.1 File Structure of CD / DVD for Simple Projects

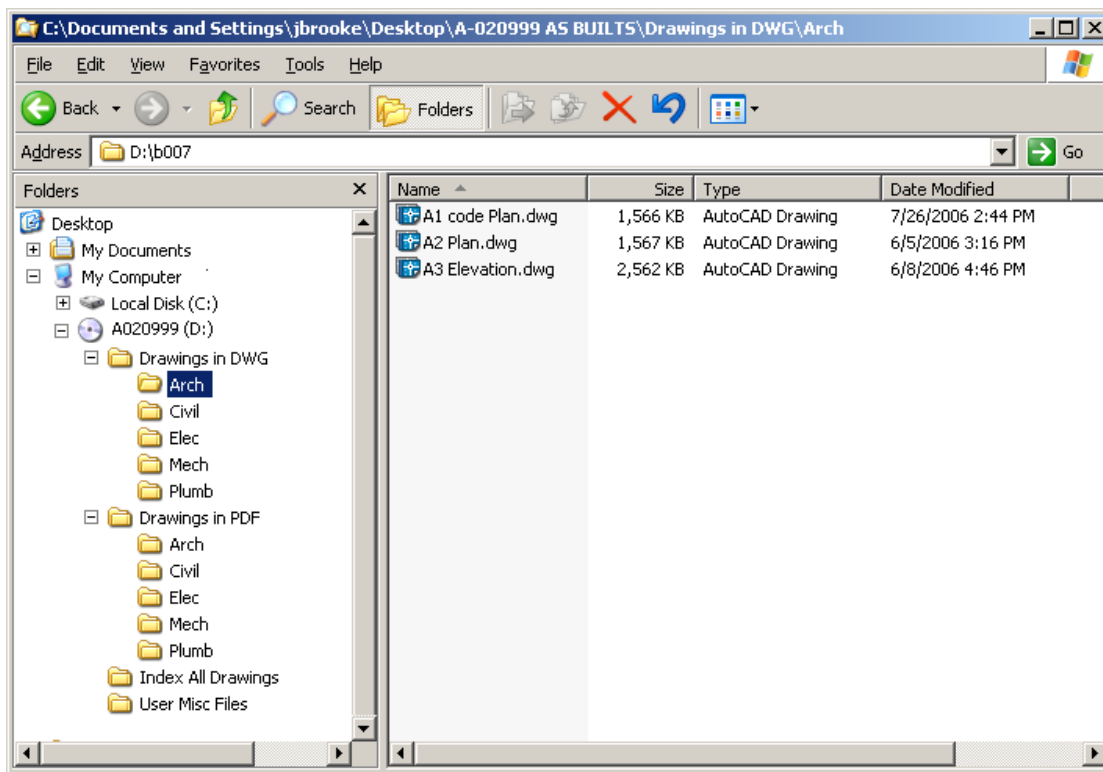


Figure 4.2 File Structure for CD / DVD for Complex Projects

## 5.8 File Naming Conventions

- 5.8.1 Each electronic drawing shall be submitted using a standard naming convention.
- 5.8.2 Due to the large size of .DWG files, each drawing sheet shall be a separate file document. Multiple sheets in one file document will not be accepted.
- 5.8.3 All document names begin with the DFM project number, sheet number followed by an abbreviated sheet title.

## 5.9 Media Labeling

- 5.9.1 CD / DVD's shall be labeled using a computer generated pressure sensitive label, similar to Avery 5824, or printed directly to surface similar to Light Scribe.
- 5.9.2 The following information shall be provided on the label: DFM project number, project title, document submittal date (for as-builts, use the project completion date), firm name, file format, and contents, such as final bid documents or as-builts.
- 5.9.3 If a project is large enough to be submitted on multiple CD / DVD's, each submitted CD / DVD shall have a unique electronic volume label. The label shall consist of the DFM project number followed by the volume number.
- 5.9.4 If more than one CD / DVD is submitted, label the disk number of total number submitted (ex. "Disk 1 of 3"). The project number shall be printed with a minimum bold 12-point Arial font size.

- 5.9.5 Hand lettering directly onto CD / DVD or onto a pressure sensitive label with a permanent marker will **NOT** be accepted. A permanent marker may deteriorate the CD / DVD dye layer rendering them unusable.

**END OF CHAPTER 17**